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THESIS

EFFECTIVE SELECTION: A STUDY OF FIRST-LINE SUPERVISOR SELECTION PROCESSES IN THE DEPARTMENT OF HOMELAND SECURITY

by

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March 2011

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Leadership is crucial in any organization. Executive leadership provides guidance, direction and structure. First-line supervisors ensure that the vision, guidance and direction of executive leaders become reality in an organization, and they also are responsible for the morale and motivation of nonsupervisory employees. Historically, federal agencies have struggled with developing and implementing selection processes that produce effective first-line supervisors.

This research examines the four most important tenets of a selection process. These four tenets include laws and regulations that govern first-line supervisor selection processes, the accepted competencies associated with effective first-line supervisors, assessment tools used in the selection process and most effective measures in assessing organizational performance and first-line supervisors. Using a multi-method approach that includes survey data, interviews and policy review, this study compares first-line supervisor selection processes for effective and less effective federal agencies, as measured by the Federal Human Capital Survey (FHCS)/Federal Employee Viewpoint Survey (FedView). Finally, conclusions and recommendations are offered for developing standards and improving first-line supervisor selection processes in DHS and the rest of the federal government.

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EFFECTIVE SELECTION: A STUDY OF FIRST-LINE SUPERVISOR SELECTION PROCESSES IN THE DEPARTMENT OF HOMELAND SECURITY

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Leadership is crucial in any organization. Executive leadership provides guidance, direction and structure. First-line supervisors ensure that the vision, guidance and direction of executive leaders become reality in an organization, and they also are responsible for the morale and motivation of nonsupervisory employees. Historically, federal agencies have struggled with developing and implementing selection processes that produce effective first-line supervisors.

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LIST OF ACRONYMS AND ABBREVIATIONS

ANOVA	Analysis of Variance
ASVAB	Armed Services Vocational Aptitude Battery
ADT	Assessment Decision Tool
ATF	Bureau of Alcohol, Tobacco, Firearms and Explosives
CBP	U.S. Customs and Border Protection
CFR	Code of Federal Regulations
CIS	U.S. Citizenship and Immigration Services
CG	U.S. Coast Guard
DoD	Department of Defense
DHS	Department of Homeland Security
DEA	Drug Enforcement Administration
FBI	Federal Bureau of Investigation
FEMA	Federal Emergency Management Agency
FHCS	Federal Human Capital Survey
FedView	Federal Employee Viewpoint Survey
FLSI	First-Line Supervisor Index
GAO	U.S. Government Accountability Office
HCAAF	Human Capital Assessment and Accountability Framework
ICE	Immigration and Customs Enforcement
MSPB	Merit System Protection Board
OPM	Office of Personnel Management
SS	U.S. Secret Service
TSA	Transportation Security Administration
TEA	Treasury Enforcement Agent Exam
USC	U.S. Code
USMS	U.S. Marshals Service

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EXECUTIVE SUMMARY

The foundation of any organization is its leadership. Executive leadership is crucial in organizations, since such leaders provide guidance, direction, and structure. However, it is the leaders found on the front lines, the first-line supervisors, who establish a stable foundation for an organization. It is these supervisors who are directly responsible for day-to-day leadership, coaching, mentoring, job performance and retention of nonsupervisory employees (Human Resources Management Panel, 2003). First-line supervisors ensure that the vision, guidance and direction of executive leaders become reality in an organization. Because of this, first-line supervisors are considered an important corporate leadership asset. To ensure that an organization best uses this asset, leaders should dedicate resources to the selection and development of first-line supervisors. Historically, federal agencies have struggled with developing and implementing first-line supervisor selection programs that produce effective supervisors who positively contribute to the performance of their agencies (Human Resources Management Panel, 2003).

Federal agencies are required to follow policies, regulations and laws when selecting first-line supervisors. Title 5 Code Federal Regulations, Parts 300, 332, 335, and 412, specifically addresses the selection and development of first-line supervisors in the federal government; however, these overarching regulations are very general and provide no specific guidance for the selection of first-line supervisors. Ultimately, federal agencies are responsible for developing their own selection process to ensure the general guidance of Title 5 is followed. Additionally, other regulations such as 5 United Stated Code, Section 3321(a)(2), provide for "a period of probation…before initial appointment as a supervisor or manager becomes final." This probationary period is meant to evaluate new supervisors to determine if they are meeting the requirements of the supervisor position; however, several government reports have determined that this probationary period in not being used as it was intended and ultimately is ineffective.

One report states, "The probationary period does not appear to weed out those supervisors who are not performing well." (Office of Merit Systems Oversight and Effectiveness, 2001, p. 18)

Over the past 20 years, several Office of Personnel Management (OPM) and Merit Service Protection Board (MSPB) reports have been published that scrutinize the selection process of first-line supervisors (Office of Personnel Management, 2010; Office of Merit Systems Oversight and Effectiveness, 2001; U.S. Merit Systems Protection Board, 1989; U.S. Merit Systems Protection Board, 2008; U.S. Merit Systems Protection Board, 2010). However, it does not appear that action has been taken on many of the recommendations from these reports. There is no consistent selection process for first-line supervisors used by federal agencies; however, there is a clear argument that every federal agency is different and therefore requires the latitude to implement their own selection process. Much like the probationary requirement for first-line supervisors, if the federal government does not establish more than passive guidance for the selection of first-line supervisors, then the effectiveness of first-line supervisors in the federal government is not likely to improve. Ultimately, the performance of each agency, and the federal government as a whole, will suffer. In this post-9/11 environment where collaboration, coordination and leadership at the frontlines is critical to the success of homeland security, can the Unites States afford to have ineffective first-line supervisors?

This study compares first-line supervisor selection processes for effective and less effective federal agencies as measured by the Federal Human Capital Survey (FHCS)/Federal Employee Viewpoint Survey (FedView). This examination includes analysis of: (i) the selection processes used and accepted in federal agencies; (ii) first-line supervisor competencies and (iii) the relationship between different selection processes and first-line supervisor effectiveness in federal agencies, specifically those that impact homeland security.

Key results from this study reveal several interesting findings that can provide insights to human resource personnel, selecting officials, agency executives and scholars. As expected, the results do not answer the "one" thing that makes first-line supervisors effective, but provides patterns and best practices for those agencies involved in this

study. These patterns and best practices logically point to recommendations that federal agencies can use to establish first-line supervisor selection processes that produce effective first-line supervisors.

Findings:

- Laws and regulations for first-line supervisor selection are very general and only set parameters for federal agencies. Although OPM provides tools for the selection process of first-line supervisors, they fall short on setting specific steps or methods to follow for the selection process of first-line supervisors.

- Agencies examined in this study used competencies recommended by the Merit Systems Protection Board for first-line supervisors.

- Agencies used elements of the first-line supervisor selection process provided by OPM, but the assessment tools used by each agency greatly varied.

- When measured by the Federal Human Capital Survey (FHCS)/Federal Employee Viewpoint Survey (FedView), agencies that fall under DHS tended to have less effective first-line supervisors.

- The agencies that had less effective first-line supervisors relied heavily on online administered assessment tools and self-assessment.

- The agencies that had effective first-line supervisors used multi-method selection processes that contained assessments tools that required applicant interaction in demonstrating behaviors consistent with competencies being sought.

Recommendations:

- OPM should assume a more active role in the selection process of first-line supervisors. They should require agencies to use assessment tools that are comprehensive in evaluating the behaviors associated with the competencies for first-line supervisors. Agencies should not just rely on self-assessments of past experience and training.

- DHS should establish a common first-line supervisor assessment test. Consistent with Government Accountability Office (GAO) recommendations of implementing management functions and strengthening performance measurements, this test would be a step in providing more stability and consistency in these areas for agencies that fall under DHS. Ultimately, this test will cultivate a culture of connectedness and establish standards within DHS.

- Agencies should use a multi-method approach in selecting first-line supervisors that contain an assessment tool that requires applicant interaction but avoid self-assessment.

- Using the First-Line Supervisor Index (FLSI) developed in this study, agencies should begin to use the FedView survey results for first-line supervisors to track first-line supervisor effectiveness within their agency.

- By combining and sharing common assessment tools and methods, agencies can lower the financial burden associated with comprehensive and fair first-line supervisor selection processes.

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I.   INTRODUCTION

> The fastest and most direct way to strengthen Federal workforce performance is to improve the supervision employees receive.
>
> Merit System Protection Board (2010)

A.   PROBLEM STATEMENT

Leadership is crucial in any organization.   Executive leadership provides guidance, direction, and structure. Leaders on the front lines, the first-line supervisors, establish a stable foundation for an organization. It is these supervisors who are directly responsible for day-to-day leadership, coaching, mentoring, job performance and retention of nonsupervisory employees (Human Resources Management Panel, 2003). First-line supervisors ensure that the vision, guidance and direction of executive leaders become reality in an organization. Because of this, first-line supervisors are considered a pivotal corporate leadership asset.

Today, organizations should dedicate resources to the selection and development of first-line supervisors.   This will ensure that organizations better use this asset; however, in the past, federal agencies have struggled with developing and implementing first-line supervisor selection programs that produce effective supervisors who positively contribute to the performance of their agencies (Human Resources Management Panel, 2003; U.S. Merit Systems Protection Board, 2010).

Historically, for most federal agencies, a first-line supervisor was not the primary emphasis of the agency. As part of post-9/11 environment, first-line supervisors more than ever need to motivate and mentor employees and encourage collaboration and coordination within the workplace and with stakeholders. Additionally, federal agencies are becoming more decentralized, relying more heavily on the decisions being made at the lowest level. Decentralization creates a more efficient security posture, but relies more heavily on the first-line supervisor. This only can occur if the selection process produces supervisors who have more than just technical expertise. First-line supervisors

1

need to have and be able to demonstrate the required competencies as soon as they are promoted to first-line supervisor, leading in today's dynamic environment.

Office of Personnel Management (OPM), Merit System Protection Board (MSPB) and several private companies have refined, through research and case studies, the competencies that are most important for first-line supervisors (Human Resources Management Panel, 2003; Office of Merit Systems Oversight and Effectiveness, 2001; Office of Personnel Management, 2010; U.S. Merit Systems Protection Board, 1989; U.S. Merit Systems Protection Board, 2010). Additionally, this research shows a strong positive correlation between perceived effectiveness of supervisors and actual success of supervisors and their organization (Brewer, 2005; O'Driscoll & Whitehouse, 2005; Thompson, 2007). However, research has not been conducted that relates first-line supervisor selection processes employed by various federal agencies to success and effectiveness of an organization.

The federal government's selection process for first-line supervisors needs to identify and select first-line supervisors who are effective and add to the overall performance of their respective agencies. It does not appear that all first-line supervisor selection processes used in the federal government are accomplishing this goal. If the first-line supervisor selection process is not addressed, it will create a leadership void that is directly connected to the success and effectiveness of federal agencies.

Over the past 20 years, several OPM and MSPB reports have been published that scrutinize the selection process of first-line supervisors (Office of Personnel Management, 2010; Office of Merit Systems Oversight and Effectiveness, 2001; U.S. Merit Systems Protection Board, 2010; U.S. Merit Systems Protection Board, 1989; U.S. Merit Systems Protection Board, 2008). However, it does not appear that action has been taken on many of the recommendations from these reports. There appears to be no consistent selection process for first-line supervisors used by federal agencies; however, there is a clear argument that every federal agency is different and therefore requires the latitude to implement their own selection process. Much like the probationary requirement for first-line supervisors, if the federal government does not establish more than passive guidance for the selection of first-line supervisors, then the effectiveness of

first-line supervisors in the federal government is not likely to improve. Ultimately, the performance of each agency, and the federal government as a whole, will suffer. In this post-9/11 environment where collaboration, coordination and leadership at the frontline levels is critical to the success of homeland security, the United States cannot afford to have ineffective first-line supervisors.

B. FOCUS OF THIS STUDY AND RESEARCH QUESTIONS

This thesis will use the Federal Human Capital Survey (FHCS) and Federal Employee Viewpoint Survey (FedView) to identify agencies that have first-line supervisors that are more or less effective and then examine: 1. the selection processes used and accepted in federal agencies; 2. first-line supervisor competencies; 3. the relationship between different selection processes and 4. first-line supervisor effectiveness in federal agencies, specifically those that impact homeland security.

1. Research Question(s)

<u>Primary</u>: How do first-line supervisor selection processes vary in effective versus less effective federal agencies as measured by the FHCS/FedView?

Sub-questions:

1. What laws or regulations govern the selection of first-line supervisors in government?

2. What competencies are most often attributed to effective first-line supervisors?

3. What important elements are part of a first-line supervisor selection process?

4. Using the FHCS/FedView data from years 2006, 2008, 2010 and a composite first-line supervisor index, which agencies have the highest and lowest first-line supervisor effectiveness rating?

5. What are the characteristics of the selection processes that tend to be used in federal agencies that have the highest and lowest supervisory ratings?

C. SIGNIFICANCE OF THIS RESEARCH

This study will add to the existing literature on first-line supervisors in the federal government by analyzing the relationship of the selection process to its effectiveness in

federal service. As the federal government continues to strive to produce a high-performing workforce, this study could be used to improve first-line supervisor selection. Lastly, as homeland security agencies and stakeholders evaluate best practices in improving effectiveness in homeland security related issues and priorities, this study will potentially provide best practices for selecting first-line supervisors in their respective organizations or agencies.

D. **LIMITATIONS OF THIS RESEARCH**

There are several potential shortfalls and limitations associated with this study. First, relying on analysis from survey data to evaluate first-line supervisor selection processes may not provide a comprehensive picture of the causes and effects of effective or ineffective selection processes. However, as mentioned above, recent studies have resulted in a strong positive correlation between perceived effectiveness of supervisors and actual success of supervisors and their organization (Brewer, 2005; O'Driscoll & Whitehouse, 2005; Thompson, 2007). This, coupled with interviews of employees who are involved in the first-line supervisor selection process, will provide valuable insight into the first-line supervisor selection processes in the federal agencies that are effective and potentially ineffective as defined by a First-Line Supervisor Index.

In conducting interviews of employees involved in the first-line supervisor selection process, another potential limitation is to assume all agencies have only one first-line supervisor selection process for all lines of business within an agency. Because selection processes may vary, it is important to ensure interviews capture as many of the first-line supervisor selection processes for a given agency as possible. This will increase the validity of the interview results and their correlation to the statistical data.

Another shortfall of this research could occur if this study was taken independently and not associated to past research and reports completed discussing first-line supervision in the federal government. This study is intended to provide additional information and possible recommendations in improving first-line supervisors in the federal government during a time where more reliance on first-line supervisors is

required to efficiently address the complexities of homeland security. Therefore, this study should be taken as one piece of a larger body of knowledge and research.

These shortfalls and limitations are important to keep in mind; however, in order to impact change in an organization or process, new, innovative thinking is required. This study will provide new insight into how the selection process for first-line supervisors impacts effectiveness of first-line supervisors in federal agencies and, in turn, organization effectiveness.

E. ORGANIZATION OF THIS STUDY

This study is organized into five chapters. As indicated above, Chapter I explains the purpose and limitations of this study and how the topic of effective first-line supervisor selection processes will be discussed and addressed. Chapter II defines and explains the four most important tenets of a selection process in the federal government as defined by pertinent literature on each tenet. These four tenets include the laws and regulations that govern first-line supervisor selection processes, the accepted competencies associated with effective first-line supervisors, assessment tools used in the selection process and most effective measures in assessing organizational performance and first-line supervisors. Once the foundation of this topic is established in Chapter II, the research method is explained in Chapter III. A multi-method approach is used in this study to examine effective first-line supervisor selection processes in the federal government. Chapter IV then examines the results of the composite supervisor index and the finding from the interviews. In the last chapter, the author offers a conclusion and recommendations for improving first-line supervisor selection processes.

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II. TENETS OF FIRST-LINE SUPERVISORY SELECTION

A. OVERVIEW

The first-line supervisor selection process in the government has four important tenets. Similar to the construction of an Egyptian pyramid, these tenets build on each other. If one is missing or unstable, the others will fail. These four tenets are described in this chapter: 1) the laws and regulations that govern first-line supervisor selection processes, 2) generally accepted competencies associated with effective first-line supervisors, 3) assessment methods and tools used in the selection processes and 4) overall measures to assess the first-line supervisor selection processes.

B. LAWS AND REGULATIONS THAT GOVERN THE FEDERAL GOVERNMENT FIRST-LINE SUPERVISOR SELECTION PROCESS

When selecting first-line supervisors, federal agencies, through their authority to manage personnel management functions within their agency, are required to follow federal policies, regulations and laws. This section describes the federal regulations that address supervisor selection, recruitment, merit promotion and supervisory development (Title 5 CFR., Parts 300, 332, 335, 412), nondiscriminatory assessment methods (Title 29 CFR, Part 1607) and the delegation of authority for selection processes and probationary requirements (Title 5 USC Parts 1104 and 3321).

1. Title 5 Code of Federal Regulations (5 C.F.R.)

a. Part 300

This regulation addresses basic employment practices, general employment information and the identification and selection of first-line supervisors. This regulation also defines employment practices as the "development and use of examinations, qualification standards, tests, and other measurement instruments" (5 C.F.R. Part 300). It goes on to suggest that measurement instruments used should:

1. Be practical in character and as far as possible relate to matters that fairly test the relative capacity and fitness of candidates for the jobs to be filled;

2.   Result in selection from among the best qualified candidates;

3.   Be developed and used without discrimination because of race, color, religion, sex, age, national origin, partisan political affiliation or other nonmerit grounds; and

4.   Ensure the candidate opportunity for appeal or administrative review, as appropriate. (5 C.F.R. Part 300)

Clearly, Part 300 provides parameters for selection of supervisors, but it falls short of implementing specific required practices which then leaves substantial grey area for agencies to apply these regulations as needed within their organization. Consequently, first-line supervisor selection processes are often inconsistent and lack standardization.

b.   *Part 332 and 335*

These regulations provide guidelines for recruiting supervisors through competitive examination and through promotion and internal placement respectively. Part 335 describes specifics related to the merit promotion plan and merit promotion requirement guidelines. In Part 335(b), the regulation provides five requirements for agencies to follow when promoting supervisors. These requirements are:

1.   Agencies must establish procedures for promoting employees, which are based on merit and are available in writing to candidates.

2.   Areas of consideration must be sufficiently broad to ensure the availability of high quality candidates, taking into account the nature and level of the positions covered.

3.   To be eligible for promotion or placement, candidates must meet the minimum qualification standards prescribed by the Office of Personnel Management (OPM). Methods of evaluation for promotion and placement, and selection for training which leads to promotion, must be consistent with instructions in part 300, subpart A, of this chapter.

4.   Selection procedures will provide for management's right to select or not select from among a group of best qualified candidates. They will also provide for management's right to select from other appropriate sources, such as reemployment priority lists, reinstatement, transfer, handicapped, or Veteran Recruitment Act eligible or those within reach on an appropriate OPM certificate.

5.   Administration of the promotion system will include recordkeeping and the provision of necessary information to employees and the public, ensuring that individuals' rights to privacy are protected. Each agency must maintain a temporary record of each promotion sufficient to allow reconstruction of the promotion action, including documentation on how candidates were rated and ranked. These records may be destroyed after 2 years or after the program has been formally evaluated by OPM (whichever comes first) if the time limit for grievance has lapsed before the anniversary date. (5 C.F.R. Part 335(b))

Although in 5 C.F.R. Part 332 and 335 the government appears to set parameters for agencies to follow when selecting first-line supervisors, in Part 335(b) requirement (4), the government seems to leave the ultimate discretion for selection of first-line supervisors to the selecting manager. This regulation then presumes that the "best qualified candidates" have been properly vetted prior to selection by the manager; however, no regulation exists that provides for proper vetting of the applicants to create a pool of best qualified candidates. This is a substantial policy gap in the current selection process.

c.   Part 412

Supervisory development is addressed in 5 C.F.R. Part 412. This part requires agencies to have written policies that provide for the initial and continuing development of individuals in executive, managerial, and supervisory positions, and candidates for those positions. The regulation does not require pre-supervisory development and does not require a vetting process when establishing selection processes for first-line supervisors; however, this regulation appears to provide for "pre-selection" training and development.   Therefore, as a part of the agencies selection process, potential candidates for promotion could be vetted through development or training activities.

2.   Title 29 Code of Federal Regulations (29 C.F.R.)

a.   Part 1607

This part provides "Uniform Guidelines on Employee Selection Procedures" (29 C.F.R. Part 1607) specifically addressing the federal government's

selection tests and other selection procedures. These guidelines focus primarily on ensuring that assessment methods are valid and are not designed in a manner that discriminates on the grounds of race, color, religion, sex or national origin. Although extremely important as a standalone guideline, OPM has also incorporated these guidelines in the recommendations and guidance it issues on assessment methods and tools for federal employees, to include first-line supervisors (U.S. Office of Personnel Management, 2010).

3.   5 United States Code (5 U.S.C.)

a.   *Section 1104 (as Amended by Public Law 104-52 of 1995)*

This law delegates the authority of personnel management functions within the federal government to the Director of OPM and authorizes the Director of OPM to delegate this authority to agency heads and human resource management officials of each agency. In summary, 5 U.S.C. § 1104 authorizes agencies to conduct personnel management functions, such as first-line supervisor selection, within their agency.

b.   *Section 3321(a)(b)*

This section requires that new supervisors serve a probationary period. If the new supervisor does not have a successful probationary period, then the probationer is placed back into a position at the same grade level from which he or she came. This probationary period is meant to evaluate new supervisors to determine if they are meeting the requirements of the supervisor position. In essence, the intent is to prevent or limit the Peter Principle from occurring. Laurence Peter stated that "[i]n a hierarchy, every employee tends to rise to his level of incompetence" (Peter & Hull, 1969). The proper use of the evaluations for new supervisors during the probationary period allows agencies to identify competence problems early on and to take corrective action; however, several government reports have determined that this probationary period is not being used as it was intended and ultimately is ineffective (Office of Merit Systems Oversight and Effectiveness, 2001; U.S. Merit System Protection Board, 2010). One report states, "the probationary period does not appear to weed out those supervisors who are not

performing well" (Office of Merit Systems Oversight and Effectiveness, 2001, p. 18). A potential reason may be the lack of valid first-line supervisor evaluations. Even if evaluations do occur, employees often are not held accountable if they fail. Given the ineffectiveness of the probationary period, the government should reexamine ways new supervisors can be held to the standards required for supervisory positions in the federal government.

4. Conclusion

These overarching regulations, laws and guidelines are very general and provide agencies with specific nondiscriminatory practices that must be used when hiring or promoting federal employees; however, it seems specific guidance and standards for the selection of first-line supervisors is not addressed in a fashion that ensures clear understanding of what "best qualified" means in the selection process. Hence, the selection can be flawed. Additionally, other regulations such as 5 U.S.C., § 3321(a)(2), provide for "a period of probation…before initial appointment as a supervisor or manager becomes final." Although this probationary period is meant to evaluate new supervisors and to determine if they are meeting the requirements of the supervisory position, it does not appear to be used by agencies consistently or effectively (5 U.S.C., § 3321(a)(2)). Ultimately, federal agencies are responsible for developing their own selection process within the general guidelines of Title 5 CFR and 5 USC and the selection process for first-line supervisors in each agency is likely to be very different. This variability in selection procedures is also likely to lead to wide ranges of supervisory effectiveness.

C. FIRST-LINE SUPERVISORY COMPETENCIES IN THE FEDERAL GOVERNMENT

Competencies are "a set of behaviors that encompasses skills, knowledge, abilities, and personal attributes that, taken together, are critical to successful work accomplishment" (Answers.com, 2011). There are several opinions as to what competencies are needed to be an effective first-line supervisor. The U.S. Merit System Protection Board (2010) recommends 10 foundational competencies for first-line supervisors. These competencies are:

- Accountability

- Customer service

- Decisiveness

- Flexibility

- Integrity/honesty

- Interpersonal skills

- Oral communication

- Problem solving

- Resilience

- Written communication (U.S. Merit System Protection Board, 2010)

Additionally, the Merit Board (2010) recommends that first-line supervisors should posses or have the capability to possess the following additional four competencies:

- Human capital management

- Developing others

- Conflict management

- Teambuilding

The literature shows that it would be impossible to establish a comprehensive list of all competencies needed for all first-line supervisors because each organization (or component of an organization) will have its own specific competencies that may be unique to itself, or at least not applicable, to all organizations or components. Therefore, in addition to the above common competencies, each organization or component should conduct a job task analysis to identify additional competencies for each first-line supervisor position (U.S. Merit Systems Protection Board, 1989, p. 2; U.S. Merit System Protection Board, 2010). Job task analysis is the process of describing and recording task specific aspects of jobs and specifying the skills and other requirements necessary to perform the job.

D.   ASSESSMENT METHODS USED BY THE FEDERAL GOVERNMENT

The federal government uses a variety of assessment tools for supervisor selection and promotion.   This section describes U.S. Office of Personnel Management's recommendations for assessment.

OPM, whose tagline is "recruiting, retaining and honoring a world-class workforce to serve the American people," (2011) serves as a human capital advisor to federal agencies.   As such, they provide federal agencies with human resource management best practices and recommendations and they are generally not responsible for setting rules, regulations or laws for federal agencies to follow. The selection process recommendations can be found on OPM's Personnel Assessment and Selection Resource Center (U.S. Office of Personnel Management, 2010). Included at the Resource Center is an automated assessment decision tool (ADT) that links best practice assessment tools from the Department of Labor.

OPM has consolidated their recommendations and best practices into a handbook called *Delegated Examining Operations Handbook: A Guide for Federal Agency Examining Offices* (2011). Chapter II of this handbook provides recommendations on selection and assessment methods for first-line supervisors including validity descriptions for each method, but OPM clearly states that each process will be different depending on the time frame, number of applicants and desired outcomes (U.S. Office of Personnel Management, 2007). OPM recommends that each agency examine these factors when deciding on the assessment tools used to select federal employees, including supervisors. Additionally, agencies are encouraged to use the OPM's automated ADT. This tool asks questions regarding the expected outcomes of the selection process to include desired competencies, number of expected applicants and expected timeframe for completion of the selection process. The ADT then provides recommendations and options comparing time required for each assessment tool, the expertise needed for each tool and the validity of each tool. Table 1 contains a list of assessment tools and a comparison of the validity and cost of each test.

Table 1.   Example of Assessment Decision Tool (ADT) Results (From OPM, 2011)

Assessment Method	Validity[1]	Face Validity/ Applicant Reactions[2]	Subgroup Differences[3]	Development Costs	Administration Costs
Accomplishment Records	High	Moderate	Low	Moderate	Moderate
Assessment Centers	Moderate	High	Low	High	High
Biographical Data (Biodata) Tests	Moderate	Moderate	Moderate	High	Low
Cognitive Ability Tests	High	Moderate	High	Moderate	Low
Emotional Intelligence Tests	Moderate	Moderate	Low	High	Low
Integrity/Honesty Tests	Moderate	Moderate	Low	High	Low
Job Knowledge Tests	High	High	High	High	Low
Personality Tests	Moderate	Moderate	Low	High	Low
Reference Checking	Moderate	Moderate	Low	Moderate	Low
Situational Judgment Tests	Moderate	High	Moderate	High	Low
Structured Interviews	High	High	Low	Moderate	Moderate
Training and Experience (T & E) Evaluations	Low	Moderate	Low	Low	Low
Work Samples and Simulations	High	High	Low	High	High

The multiple assessment tools mentioned above can be summarized in six general categories:

1.   Past Performance/Experience Evaluations

    a.   Accomplishment Records

    b.   Biographical Data Tests

    c.   Reference Checking

2.   Training and Experience Evaluations

    a.   Practical Application Evaluations

    b.   Situational Judgment Tests

    c.   Work Sample/Simulations

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1 Validity is the extent to which assessment scores are related to current or future job performance.

2 Face validity is the applicant's perception of the validity of the tool based on visual inspection.

3 Subgroup differences refers to the level at which the assessment tool is consistent regardless of race, sex or origin.

3.   Written/Standardized tests

     a.   Cognitive Ability Tests

     b.   Emotional Intelligence Tests

     c.   Personality Tests

4.   Job Knowledge Tests

5.   Interviews

6.   Assessment Centers (OPM, 2011)

Some of the assessments methods recommended by OPM do not apply or are less applicable to supervisor selection since in most cases first-line supervisors in the federal government are already federal employees. For example, under the Americans with Disabilities Act, personality tests that meet the definition of medical examinations cannot be required after an offer for employment has been made. Therefore, personality tests could not be given to potential first-line supervisors unless they are new-hires in the federal government.

Although OPM provides multiple sources, resources and publications that recommend best selection and assessment practices, individual agencies ultimately have the discretion to choose their assessment tools. This leaves open the possibility or likelihood that an agency will choose an assessment tool or selection method that will meet the minimum federal regulations and guidelines but will fall short in choosing the assessment tools and methods that would have the best chance of providing each agency with the best qualified candidate. Perhaps this vulnerability in the selection process for federal employees, specifically first-line supervisors, is an important factor contributing to concern of first-line supervisor effectiveness that has been documented in several OPM, MSPB and independent organization studies (Brewer, 2005; Human Resources Management Panel, 2003; O'Driscoll & Whitehouse, 2005; Office of Merit Systems Oversight and Effectiveness, 2001).

E.   MEASURING FIRST-LINE SUPERVISORY SELECTION PROCESSES

In order for an organization or a process within an organization to work properly, there must be a way of measuring its effectiveness and performance. Without this last

tenet in the selection of first-line supervisors, agencies within the federal government cannot determine if the steps and procedures outlined in their first-line supervisor selection process actually meet the desired individual and organization outcomes.

An examination of current literature for government and private organizations reveals little evidence of tangible measures used to gauge the effectiveness of first-line supervisor selection processes. In private sector organizations, the selection processes tend to be more holistic, viewing the selection and development of first-line supervisors as one integrated process (Charan, 2008). Because of this, for private companies, current measures of effectiveness become their ability to fill first-line supervisor positions with qualified employees who have been developed and assessed over a period of time. The ultimate objective measurement of effectiveness for private organizations, of course, is its ability to remain competitive and survive in a free market economy. Unlike the private sector, the federal government is not concerned about profits and loss and worries less about survivability. Therefore, measuring effectiveness in this manner becomes much more difficult.

Currently, it does not appear that federal agencies measure the effectiveness of their first-line supervisor selection processes in any rigorous manner. A few studies address perceived best practices or describe agencies going above and beyond what is required in Title 5 Code of Federal Regulations (CFR)[4] (Human Resources Management Panel, 2003; Office of Merit Systems Oversight and Effectiveness, 2001), but they do not discuss a rigorous method of measuring the effectiveness of first-line supervisor selection processes. Additionally, OPM and MSPB appear to use extensive survey data in assessing organizational performance at an agency level (U.S. Merit System Protection Board, 2010; U.S. Office of Personnel Management, 2008), but this data does not appear to be used to measure more micro-level processes like first-line supervisor selection. However, the fact that MSPB and OMP uses perceptive measures to evaluate agency performance and the extensive studies connecting perceptive measures to actual performance (Bommer, Johnson, Rich, Podsakoff, & MacKenzie, 1995; Brewer, 2005;

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[4] Title 5 CFR, Part 300, 332, 335, 412 addresses the selection and development of first level supervisors in the federal government.

Delaney & Huselid, 1996; Dess & Robinson, 1984; O'Driscoll & Whitehouse, 2005) indicate that in the absence of external objective data, the best alternative way to evaluate first-line supervisor selection processes is by using internal perceptive measures. In order for the selection process of first-line supervisors to be most effective, however, the federal government must develop a measurement tool to evaluate their selection processes.

F.   CONCLUSION

Examination of the four tenets of first-line supervisor selection processes makes it clear that in order to develop and maintain an effective selection process, several factors need to be taken into account and constantly reevaluated to ensure the process is meeting the desired outcomes. The federal government, through laws and regulations and OPM's guidance, has established a framework that helps agencies address three of the four tenets of first-line supervisor selection processes; however, the fourth tenet seems to be missing, possibly due to the complexity and uncertainty of effective measurement methods or because limited micro level external and internal performance data exists. The fourth tenet—measuring performance and organizational effectiveness at an actionable level— needs attention and substance. There is no doubt that this area of study is very complex and difficult to define. However, this difficulty should not preclude or in any way dissuade scholarly debate on best practices and application of the most effective tools to assess overall organizational performance and that of the first-line supervisor selection processes. Without all four tenets, first-line supervisor selection in the federal government is likely to be less effective.

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III. RESEARCH METHOD

A. OVERVIEW

Little research has been conducted about first-line supervisor selection processes in the federal government. Existing studies tend to report aggregate data, with analysis remaining at a government-wide, or agency level. Existing studies have not demonstrated how the selection process of first-line supervisors correlates with overall agency effectiveness or first-line supervisor effectiveness. Additionally, existing studies do not appear to offer insights or solutions for improving the selection of first-line supervisors in the federal government.

This study is a multi-method examination of the selection processes for first-line supervisors in effective and less effective federal government agencies. Survey data used in this study comes from the Federal Human Capital Survey (FHCS) and Federal Employee Viewpoint Survey (FedView). Interview data used in this study comes from in-depth interviews and policy reviews about selection processes in selected agencies. Research questions addressed by this study are listed below.

1. Research Questions

a. *Primary Research Question*

How do first-line supervisor selection processes vary in agencies with effective verses less effective first-line supervisors? For each of the sub-questions below, differences between agencies with effective first-line supervisors and those with less effective first-line supervisors will be examined.

b. *Sub-Questions*

1. What laws or regulations support or hinder the selection of first-line supervisors?
2. What competencies are most often attributed to effective first-line supervisors?
3. What important elements are part of the first-line supervisor selection process?

4.   Using the FHCS/FedView data from years 2006, 2008, 2010 and a composite first-line supervisor index, how effective are the first-line supervisors each agency and which agencies have the highest and lowest first-line supervisor effectiveness rating?

5.   What attributes of first-line supervisor selection processes are similar or different in agencies with effective or less effective first-line supervisors.

Analysis of data expected to answer each of these sub-questions provides a solid foundation in which to answer the main research question for this thesis. In essence, to fully understand a problem and be able to provide potential solutions, one must first dissect and analyze the parts of the problem. In doing this, the researcher will be able to suggest best practices for first-line supervisor selection processes in the federal government. Office of Personnel Management (OPM) and Merit Systems Protection Board (MSPB) research and reports express concern within the government about the effectiveness of first-line supervisors (Human Resources Management Panel, 2003; Office of Merit Systems Oversight and Effectiveness, 2001; U.S. Merit Systems Protection Board, 1989). This research will provide additional information on one key aspect of first-line supervisor effectiveness, the selection process.

It is important to note that this research is not intended to recommend a best way to select first-line supervisors in the federal government. Several competing factors influence and alter the effective selection of first-line supervisors beyond what is discussed in this study; however, it is expected that this research will reveal insights into how the selection process impacts success of first-line supervisors in the federal government.

B.   SURVEY DATA: THE FEDERAL HUMAN CAPITAL SURVEY AND FEDERAL VIEW POINT SURVEY

In 2002, OPM initiated and instituted the first Federal Human Capital Survey (FHCS). Since 2002, OPM administers this survey every two years to all federal employees. In 2010, OPM changed the name of this survey to Federal Employee Viewpoint Survey (FedView). The FedView 2010 is an 89-item survey that includes 11 demographic questions and 78 items measuring federal employees' perceptions about how effectively the workforce is managed. Comparing the 2010 to the 2008 and 2006

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FHCS, several differences were noted. The 2008 FHCS had 58 items in common with the 2010 FedView and the 2006 FHCS had 57 items in common with the 2010 FedView. When comparing the results for each year, it is important to note that some questions in the overall survey and in the demographic questions have changed or were modified slightly in 2010 so the data for some questions needs to be recoded to allow comparison. For example, one demographic question asked all three years is: what is your supervisory status (U.S. Office of Personnel Managment, 2006)? The response options offered in 2010 were A. Nonsupervisor/Team leader B. Supervisor and C. Manager/Executive. By comparison, in 2008 and 2006, the response options offered were A. Nonsupervisor, B. Team Leader, C. Supervisor, D. Manager, and E. Executive. To be compared, responses for 2008 and 2006 must be recoded (A and B collapsed to A, and D and E collapsed to C) to match options offered for 2010.

Unlike with the FHCS, the 2010 FedView survey grouped the 89 questions into eight topic areas that respondents see as they take the survey. These eight topic areas are: personal work experience, work unit, agency, supervisor/team leader, leadership, satisfaction, work/life, and demographics. In essence, by creating eight topic areas, OPM has created indexes that can be used to analyze the respondent's responses. For example, the supervisor/team leader topic area contained 11 questions that specifically pertain to the perceptions of supervisors and team leaders in each agency.[5] These eight topic areas or indexes are different and should not be confused with Human Capital Assessment and Accountability Framework (HCAAF) indices.

The HCAAF indices provide consistent metrics for measuring progress toward HCAAF objectives. The four indices provided are: the Leadership and Knowledge Management Index, the Results-Oriented Performance Culture Index, the Talent Management Index and the Job Satisfaction Index. These indices are used to assess government-wide performance and trends; however, due to the more general categories, the HCAAF indices are hard to use for subsets or specific aspects of one HCAAF index.

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[5] It is important to note that OPM defines team leader and supervisor as those who supervise or oversee nonsupervisor employees.

Therefore, in order to examine first-line supervisor performance in a particular agency, it is more pertinent to use the supervisor/team leader topic area since these questions are more focused on the effectiveness of first-line supervisors.

The 2006 and 2008 FHCS and 2010 FedView were self-administered Web surveys with paper version being sent out to agencies that did not have Web access. The samples for the FHCS and FedView were consistent, based on the number of respondents and the return rate for years 2006, 2008, and 2010. The surveys all were directed to full-time permanent employees and administered as a census to participating agencies. The participating agencies made up 97 percent of the executive branch workforce. For all three years, the response rate was over 50 percent. Table 2 shows the response rates per year.

Table 2.   FHCS/FedView Response Rates (After OPM, 2006, 2008, 2010)

Year	Invited	Respondents	Response Rate
2006	390,657	221,479	57%
2008	417,128	212,223	51%
2010	504,609	263,475	52%

According to OPM, the purpose of FHCS/FedView is to collect data on the perceptions of federal employees regarding how effective agencies are managing their workforce; however, OPM does not provide information that connects perceptions of employees to actual agency effectiveness. This could be for several reasons, one of which is that it is very hard to determine government agency effectiveness with a metric that can be applied to all agencies.

C.   AGENCY SELECTION

Eleven agencies were selected for this study. The selection of these agencies was based upon similarity of the agencies' primary or secondary missions and their relationship to homeland security. The following agencies are included in this study.

- Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF)
- Drug Enforcement Administration (DEA)
- Federal Bureau of Investigation (FBI)

- Federal Emergency Management Agency (FEMA)

- Transportation Security Administration (TSA)

- Citizenship and Immigration Services (CIS)

- Coast Guard (CG)

- Customs and Border Protection (CBP)

- Immigration and Customs Enforcement (ICE)

- U.S. Marshals Service (USMS)

- Secret Service (SS)

D.   DEVELOPMENT OF SUPERVISORY INDEX

1.   First-Line Supervisor Index (FLSI)

In 2010, OPM modified FHCS in several ways. The result of these modifications can be seen in the new version of this survey called the FedView. In addition to adding more questions to the survey, OPM also grouped the new questions and the old questions that are directed at a specific topic. As mentioned above, one of these groups is called "My Supervisor/Team Leader."   Eleven questions are captured in this group. Of the eleven questions, eight of these questions are either identical or so similar as to seem to invoke the same response from the respondent in the FHCS 2006 and 2008.[6]

The First-Line Supervisor Index (FLSI) used in this study contains the eight questions listed in Table 3. These questions were used consistently in the OPM surveys administered in 2006, 2008, and 2010. To narrow the study to focus specifically on the perceptions of nonsupervisor employees of their first-line supervisors, respondents were narrowed to only include nonsupervisor. The following questions represent the FLSI discussed in this study.

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[6] Normalization of Data-During the research and analysis of the data for the three years included in this study, it was discovered that in several instances the data collected was not coded the same for all years. The researcher normalized the data, so that accurate and complete analysis could be completed. Those questions that applied to this study and had to be recoded and normalized can be found in Appendix A.

Table 3.   First-Line Supervisor Index

First-Line Supervisor Index	
Questions	Factor
My supervisor supports my need to balance work and other life issues.	B
My supervisor/team leader provides me with opportunities to demonstrate my leadership skills.	B
Discussions with my supervisor/team leader about my performance are worthwhile.	B
My supervisor/team leader is committed to a workforce representative of all segments of society.	B
My supervisor/team leader provides me with constructive suggestions to improve my job performance.	B
Supervisors/team leaders in my work unit support employee development.	B
I have trust and confidence in my supervisor.	O
Overall, how good a job do you feel is being done by your immediate supervisor/team leader?	O
B=Behavior Factor O=Outcome Factor	

2.   Behavior Factor and Outcome Factor

In developing this study, and to understand the possible relationship between questions within the FLSI, the researcher determined that within the eight questions of the FLSI, two subgroups could be identified. These subgroups are the behavior factor and outcome factor. Although one would assume that the behaviors and outcomes of supervisors would be closely associated, this assumption needed to be tested to determine if these two factors were indeed statistically correlated. If perceived behaviors of supervisors have a strong correlation to the perceived outcomes within an agency, then the overall FLSI has more statistical relevance to overall perceived effectiveness of first-line supervisors in each federal agency examined. Additionally, this in-depth validation of the FLSI was important since this index was used in determining how to conduct the second part of the method in this study. After examining the FLSI questions, the researcher found that six of the eight questions seemed to be asking about the perceived behaviors of supervisors or team leaders. These questions make up the behavior factor. Two of the eight questions asked about the perceived outcomes of supervisors or team leaders. These questions make up the outcome factor (see Table 3).

3.   Analysis

The FLSI was applied to all federal agencies included in this study. The analysis focuses on the nonsupervisor responses to these index questions. Using analysis of

variance (ANOVA) and Pearson's correlation statistical analysis, analysis can be focused on the perceived effectiveness of first-line supervisors. ANOVA and Pearson's correlation statistical tools are used here because past studies "have shown that measure of perceived organizational performance correlate positively with moderate to strong associations with objective measures of organizational performance" (Brewer, 2005, p. 511). This information is presumed to identify which agencies have the most effective and the least effective first-line supervisors. Using an aggregate mean of all eight questions in the FLSI, the agencies were ranked from most effective to least effective.

E. INTERVIEWS

1. Data Collection

Based on the FLSI analysis, interviews or policy reviews were conducted with three agencies from the group with the high performing first-line supervisors and three agencies were selected from the group with the lowest performing first-line supervisors. The purpose of the interviews and policy reviews was to gather data about the first-line supervisor selection process for the selected agencies. If policies or procedures were not available, in-depth interviews were conducted with agency employees who are familiar with the agency's first-line supervisor selection process. Generally, these employees were human resource specialists directly involved in the first-line supervisor selection process in each agency. A matrix of assessment method characteristics was used during the interview process or policy review to capture the types of assessment tools and assessment factors used by each agency in the sample (see Table 4). Additionally, verbatim notes were taken on information provided in the interviews to capture all relevant information about the first-line supervisor selection process.

2. Interview Questions

When a policy review was not possible for an agency, the following questions were used during the interview of an employee familiar with the first-line supervisor selection process for the respective agency. The interviews were conducted on the telephone.

1. Describe the first-line supervisor selection process in your organization.

2. Has the first-line supervisor selection process been changed or altered in the last five years? If so, can you describe the alternations that have taken place?

3. Is the selection process you have described consistent throughout your organization?

4. What aspect(s) of the first-line supervisor selection process used by your organization are most important and least important? Why?

5. What modifications would you make to the current first-line supervisor selection process used in your organization? Why?

3. Selection Process Matrix

Inherent in the recommendations and best practices provided by OPM, are specific criteria for assessing selection processes. The most important criteria for this study are listed in the Table 4 and used to capture important characteristics of the first-line supervisor selection process in each agency in this study sample. These data make possible the comparison and analysis of first-line supervisor selection processes and identification of similarities or differences between agencies with effective and those with less effective first-line supervisors.

Table 4.   First-Line Supervisor Assessment Tool Matrix

First-Line Supervisor Selection Assessment Tools						
Assessment Tool	Agency 1	Agency 2	Agency 3	Agency 4	Agency 5	Agency 6
Pre-selection Vetting						
Number of Hurdles in Selection Process*						
Self-Assessment Portion (Y/N)						
Past Performance Evaluations						
Accomplishment Record						
Training & Experience						
Practical Application Evaluations						
Situational Judgment Tests						
Work Sample/Simulations						
Writing Skills						
Job Knowledge Tests						

First-Line Supervisor Selection Assessment Tools						
Assessment Tool	Agency 1	Agency 2	Agency 3	Agency 4	Agency 5	Agency 6
Interviews						

*See Appendix B

Key — E=Electronic
AC=Assessment Center
I=In-Person
T= Telephonic

4.   Analysis

The focus of analysis in this study is specifically on the elements and mechanics of the first-line supervisor selection process. The assessment tools and selection process used are examined to determine similarities and differences. This includes examining the numbers of hurdles in a selection process, if the assessment tools and process are administered electronically, telephonically or in-person, and if there is a self-assessment portion in the process. This information, coupled with the FLSI findings, is analyzed to determine if there is any relationship between the specific selection process and first-line supervisor effectiveness rating.

F.   CONCLUSION

Studies show that effective first-line supervisors are lacking in the federal government which is problematic because high performing supervisors are critical to an organization's success and effectiveness (Brewer G. A., 2005; Office of Merit Systems Oversight and Effectiveness, 2001; Human Resources Management Panel, 2003; U.S. Merit Systems Protection Board, 1989). Using quantitative and qualitative approaches to this study, important insights about which characteristics of first-line supervisor selection processes are likely to produce effective first-line supervisors. Contrary to existing studies on first-line supervisors' effectiveness that focus at the agency level and do not consider the nature of the selection process, this multi-method study provides a starting point for additional research focused on this important factor—the selection process.

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IV. RESULTS

Don't rate potential over performance.

Jim Fassel

A. INTRODUCTION

The results of this study reveal several interesting findings that can provide insights to human resource personnel, selecting officials, agency executives and scholars. As expected, the results do not answer the "one" thing that makes first-line supervisors effective but provides patterns and best practices for those agencies involved in this study. The following results emerged in response to the research questions (proposed in Chapter III).

B. HOW LAWS OR REGULATIONS GOVERN THE SELECTION OF FIRST-LINE SUPERVISORS IN GOVERNMENT

While extensive laws and regulations provide guidance and prohibit certain practices for the selection of first-line supervisors, these laws and regulations tend to be very general and only set parameters for federal agencies. The Office of Personnel Management (OPM) is the federal agency responsible for providing specific guidance and best practices based on established laws and regulations for all human resource issues in the federal government. OPM provides tools for the selection process of first-line supervisors, but it falls short on setting specific steps or methods for processes which comply with the established laws and regulations. It appears that it is up to the individual agencies to determine what assessment methods and steps to use when selecting first-line supervisors and that they are doing so without definitive oversight regarding compliance with laws and regulations. This was confirmed during the interviews conducted in this study. Each person interviewed understood that there were laws and regulations that governed the selection process, but few actually knew the substance of the laws and regulations. For the most part, those interviewed referenced OPM as the organization responsible for ensuring agencies stayed within the parameters set by the laws and regulations; however, little evidence from the interviews explained how OPM

accomplishes this regulatory mission. This could be due to the fact that the individuals interviewed do not have training or experience with how OPM influences their agency. While this is interesting to note, agency compliance with laws and regulations is beyond the scope of this study.

C. COMPETENCIES THAT ARE MOST OFTEN ATTRIBUTED TO EFFECTIVE FIRST-LINE SUPERVISORS

Competencies attributed to first-line supervisors were explored through interviews with 'savvy insiders' and agency policy reviews. In general, all agencies included in this study used at least some of the competencies provided by the Merit Systems Protection Board (MSPB), but the number of competencies varied widely by agency and specialty. Across all six agencies and career specialties examined in this study, the following competencies were consistently sought for first-line supervisors:

- Accountability
- Flexibility
- Integrity/honesty
- Interpersonal skills
- Oral communication
- Problem solving
- Written communication

It appears the guidance provided by OPM and MSPB with regards to the competencies that first-line supervisors should possess is applied consistently across agencies in this sample. Furthermore, consistent with OPM's guidance, it seems some agencies cater to the specific needs of their first-line supervisor jobs incorporating additional competencies that go beyond the fundamental competencies recommended. Even so, the manner in which agencies assess these competencies for first-line supervisors seem to be inconsistent.

D. THE IMPORTANT ELEMENTS OF A FIRST-LINE SUPERVISOR SELECTION PROCESS

All of the agencies examined in this study used elements of the first-line supervisor selection process provided by OPM (outlined in Chapter II); however, the number of hurdles and the assessment tools used by each agency and career specialty greatly varied. For the most part, non-law enforcement selection processes, compared to law enforcement selection processes, for example, tended to use fewer assessment tools and the process seemed to be more streamlined and tended to be completed at the field office level. Additionally, the non-law enforcement career specialties all had a structured panel interview as part of the last hurdle in the selection process, whereas law enforcement career specialties did not have this same requirement (see Appendix B). The differences in selection processes for career specialties, specifically the number of hurdles and assessment tools used, could be a reflection of how each agency views the level of complexity for the different career specialty. However, the data collected within this study does not provide enough information to provide definitive information as to the reasons for the differences in the selection processes for the different career specialties.

E. AGENCIES WITH THE HIGHEST AND LOWEST FIRST-LINE SUPERVISOR EFFECTIVENESS RATING

The First-Line Supervisor Index (FLSI) discussed in Chapter III is a composite measure of eight questions that offer insight into the perceptions of nonsupervisor employees about the effectiveness of their first-line supervisors. Using the mean scores of the FLSI, agencies can be ranked and an analysis of variance (ANOVA)[7] accomplished to determine if these mean scores demonstrate real differences (see Appendix C). Table 5 shows the agencies FLSI ranking per year and is color coded to show top four ranks and the bottom four ranks.

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[7] For the purpose of this study, ANOVA was used to analyze differences in means between agencies.

Table 5.   FLSI Agency Rank

FLSI Rank			
Rank	2006	2008	2010
1	ATF	FBI	FBI
2	DEA	DEA	DEA
3	FBI	CG	ATF
4	SS	ATF	CG
5	CG	CIS	SS
6	CIS	SS	USMS
7	USMS	USMS	CIS
8	ICE	ICE	FEMA
9	FEMA	FEMA	ICE
10	CBP	TSA	CBP
11	TSA	CBP	TSA

As discussed earlier, perceptions observed in survey data "have shown that measures of perceived organizational performance correlate positively, with moderate to strong association, with objective measures of organizational performance" (Brewer, 2005, p. 511). Although, for the years studied, the difference between the least effective and most effective agencies, as defined by the FLSI, is no more than four points, this still represents a significant statistical difference since in each year there were over 9,000 nonsupervisor respondents to the survey for the agencies examined.[8]   Therefore, the aggregate mean is sufficient in ranking the agencies as most and least effective.

1.   Correlation of Behavior and Outcome Factor

Using Pearson correlation,[9] it was found that the behavior factor (the aggregate of behaviors described in the FSLI) and outcome factor (the aggregate of outcomes described in the FLSI) were significantly correlated above the R=0.701 level for each agency and for each year included in this study. Additionally, when combined into the FLSI, a strong positive correlation existed above R=0.701 level for each factor when

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[8] To change an agency's rank, several hundred respondents would need to respond differently.

[9] Pearson correlation is a statistical tool that tests linear dependence between two variables.

examined separately. This suggests that behaviors and outcomes of supervisors are closely connected. Therefore, it follows that if one assesses and selects supervisors based on specific supervisor behaviors, then supervisor outcomes will be impacted. The correlation between behaviors and outcomes is very important and should strongly be considered when agencies are designing and implementing assessment methods for first-line supervisors. For details on the Pearson correlation results, see Appendix D.

2. FLSI Trends

Over the three years examined during this study, some interesting trends can be observed for the 11 agencies included. First, FBI, DEA, CG and ATF have consistently been in the first four spots for the FLSI; however, in 2006, the SS ranked number four and the CG ranked number five.

Second, there was slight movement with regard to rank order for the bottom four agencies, but the same four agencies remained in the bottom for all three years. Although there could be several reasons for the agencies falling at the bottom of this ranking, to include first-line supervisor selection processes, it should be noted that these four agencies, ICE, FEMA, CBP and TSA, were all heavily impacted or reorganized by the stand-up of the DHS in 2002.[10]

Figure 1 shows the bottom four agencies seem to be improving as it relates to the FLSI, with the largest movement of over three points by TSA. For TSA, this could be a reflection of the stabilization of first-line supervisor selection processes following the inception of the agency in 2002. Although there is generally a slight movement upward for the top four agencies, all four agencies had less than one point increase per year. Perhaps this is an indication of consistency and effectiveness of first-line supervisor selection processes in these agencies. Additionally, none of the 11 agencies examined exhibited a downward trend as defined by the FLSI. Although somewhat unremarkable, this could demonstrate that none of the agencies examined have made significant changes in their first-line supervisor selection processes that adversely impact the effectiveness of

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10 When these agencies were reorganized, first-line supervisor selection criteria may not have been clear and sometimes irrelevant as more senior employees from other agencies were integrated into these agencies—pre-empting a rational selection process.

it first-line supervisors. Lastly, Figure 1 demonstrates that in all three years included in this study, the top four agencies, as defined by the FLSI, scored above the overall FLSI government mean.[11] This perhaps provides credence to the overall effectiveness of first-line supervisors for the top four agencies and provides reason to look to these agencies for best practices in first-line supervisor selection.
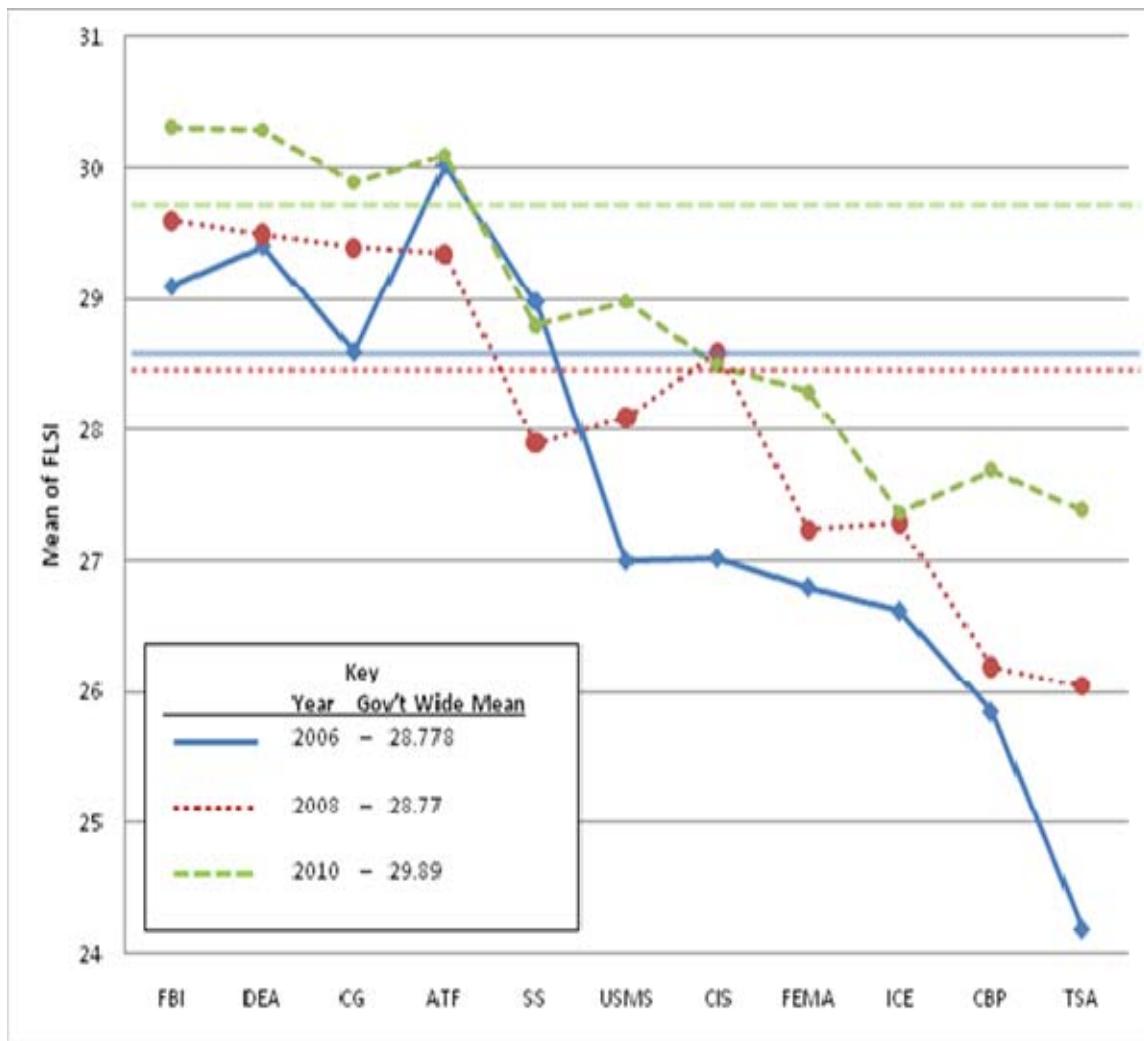
Figure 1.   Mean Rating of Agencies on Supervisor Index

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[11] Using all nonsupervisor survey data from each year examined, the researcher was able to determine the overall FLSI government mean. The overall mean in reflected in the Figure 1.

F.   INTERVIEWS/POLICY REVIEWS

Based upon the results of the FLSI (see Table 5), "savvy insiders" from the three agencies in the most effective group and three agencies in the least effective group were interviewed, or, in the alternative, first-line supervisor selection policies were reviewed. The agencies examined in this way were:

Most effective:

- Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF)
- Drug Enforcement Administration (DEA)
- Federal Bureau of Investigation (FBI)

Least effective:

- Immigration and Customs Enforcement (ICE)
- Customs and Border Protection (CBP)
- Transportation Security Administration (TSA)

Although the Coast Guard (CG) ranked in the most effective group for the FLSI, it was not examined because it was considered an outlier for purposes of this analysis. It was treated as an outlier because other than the fact that CG falls within Department of Homeland Security (DHS), as an agency, it is more like Department of Defense (DoD) agencies when selecting first-line supervisors. Like other DoD agencies, the CG has an extensive vetting and selecting process for first-line supervisors in both the officer and enlisted ranks. The CG processes are more holistic and akin to private company selection processes where development and selection is a valued practice and not a process defined solely by set times and set assessment tools. Although, like private companies, the military can provide significant insights to best practices for selecting first-line supervisors, its processes are so different from other agencies examined in this study, that fair comparisons are not possible.

G. CHARACTERISTICS OF SELECTION PROCESSES THAT TEND TO BE USED IN FEDERAL AGENCIES WITH THE HIGHEST AND LOWEST SUPERVISORY RATINGS

Using interviews and policy reviews, a selection process matrix was completed to determine similarities and differences among the agencies that were considered in this study to be the most and least effective as defined by the FLSI. Table 6 shows the range of assessment tools used by the agencies who participated in this study. Although there are other assessment tools that are recommended by OPM, none of the participating agencies use these assessment tools and, as a result, they are not included in the matrix. Some of the recommended OPM assessment tools do not appear to be used by any of the agencies examined include: standardized tests that evaluate an applicant's reasoning and logic and reference checks.

The effective and less effective agencies examined have several similarities and differences with each other which can be categorized into four areas 1) use of self-assessment tools, 2) online administration of assessment tools, 3) interactive demonstration of behavior associated with desired competencies being sought and 4) use of multiple assessment tools. A comparison of the six agencies follows:

Table 6.   Results: First-Line Supervisor Selection Assessment Tool Matrix

First-Line Supervisor Selection Assessment Tools											
	ATF		DEA		FBI		ICE	CBP		TSA	
Assessment Tool	Non-Law Enfor	Special Agent	Non-Law Enfor	Special Agent	Non-Law Enfor	Special Agent	Special Agent	Officer/Agricul	Border Patrol	Non-Law Enfor	Air Marshal
Pre-selection Vetting				E	I	I					
Number of Hurdles in Selection Process*	1	1	1	2	2	2	2	1	1	2	2
Self-Assessment Portion (Y/N)	N	N	N	N	N	N	Y	Y	Y	Y	Y
Past Performance Evaluations											
Accomplishment Record	E		E		E	E		E	E	E	E
Training & Experience		AC		AC							E
Practical Application Evaluations											
Situational Judgment Tests		AC		AC		T	E	E	E		

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	c1	c2	c3	c4	c5	c6	c7	c8	c9	c10
Work Sample/Simulations		AC		AC		T	E	E	E	
Writing Skills		AC		AC			E	E	E	
Job Knowledge Tests		AC		AC	E	T	E		E	
Interviews	I	AC	I	AC	I		I		I	
*See Appendix B						Key	E=Electronic			
							AC=Assessment Center			
							I=In-Person			
							T= Telephonic			

1.   Use of Self-Assessment Tools

Tools requiring self-assessment were heavily used by those agencies in the least effective group. CBP, ICE and TSA require applicants to self-assess their competencies based on several multiple choice questions within the assessment tools used. Based on the available responses on the self-assessment questions reviewed, an applicant can determine what answer will garner a higher score. These scores are used as part of the overall first hurdle score, or in some cases, as the only score that is used to determine which applicants make it to the next hurdle. Therefore, it is possible that applicants will inflate their experience when responding to these self-assessment questions so they can continue to be considered for selection in the process. Moreover, applicants who assess themselves honestly and are potentially great first-line supervisors may not move to the next step of the selection process. The agencies examined that fell in the most effective group did not use any form of multiple choice self-assessment tools. Instead these agencies use assessment tools that allow for the observation and assessment of patterns of frequent behaviors by applicants. This appears to be a significant difference and might be a reason agencies have more or less effective first-line supervisors.

2.   Online Administration of Assessment Tools

In every agency examined in this study, it appears that there is some aspect of the first-line supervisor selection process that is administered on a computer or over the Internet. For example, the initial submission of promotion packages appears to be

universally completed over the Internet. The Internet has streamlined the application process and accountability of applications; however, there are some interesting findings when agencies use computer-based assessment tools.

Two of the three agencies that have the least effective first-line supervisors, ICE and CBP, use only computer-based assessment tools in their selection processes (see Table 6). Although these agencies use several assessment tools within the selection process, they do not use any assessment tools that are administered in a manner that can be observed by evaluators. Their processes appear to rely strictly on the responses an applicant provides on the computer. Conversely, other than the initial submission of the application, none of the most effective agencies rely only on computer-based assessment tools. Typically, the effective agencies use a combination of computer-based assessment tools and in-person interactive assessment tools. This multi-method approach is assumed by the author to provide a more complete assessment score for the applicants.

3. Interactive Demonstration of Behaviors Associated With Competencies Being Sought

The data suggests that in-person interactive assessment tools are important to effective first-line supervisor selection processes. DEA and ATF have highly rated first-line supervisor selection processes based on the FLSI ratings each year, and they were the only agencies examined that used formal assessment centers. Each agency's assessment center administered slightly different assessment tools, but they both had requirements to demonstrate valued supervisor competencies and behaviors in practical exercises and simulations. Although the three agencies that were examined in the least effective group had some practical exercises, like an in-box assessment,[12] these assessment tools were administered online and had no interaction with role players or evaluators. The DEA, ATF and FBI each had a portion of their selection process that required interaction with role players and evaluators during the administration of the selection process. The interaction with role players and evaluators appears to be a significant difference in the

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[12] An in-box assessment is an assessment tool used to simulate the prioritization of tasks and assignments first-line supervisors must conduct as part of their supervisory duties.

most and least effective agencies. This finding provides important insight into what elements of selection processes appear to produce effective first-line supervisors.

4.   Use of Multiple Assessment Tools

One similarity among all agencies examined was the use of multiple assessment tools; however, there are differences in the way the multiple assessment tools are used. More effective agencies appear to use multiple assessment tools to confirm behaviors associated with required competencies. For example, ATF and DEA both use the training and experience evaluation that systematically reveals and credits an applicant's past experience. ATF and DEA then use several other assessment tools like situational judgment tests and simulations to confirm or discredit the finding from the training and experience evaluation. Conversely, TSA, specifically the Air Marshal Service, appears to use two assessment tools that reveal the same information in a similar manner. The Federal Air Marshal Service (FAMS) relies on accomplishment records and on training and experience evaluations. Both assessment tools rely on information provided by the applicant through essay style answers and resumes. So, unlike the mutually validating methods described above, by using this method, FAMS appears unable to confirm that the applicant's experience meets the competencies being sought.[13] In this light, one could argue for the elimination of one of these assessment tools to save overall assessment costs. Since the less effective agencies had other factors mentioned above, like computer-based assessments and self-assessment portions that appear to have impacted their first-line supervisor selection process effectiveness, it is not possible to determine the benefit of using multiple assessment tools in their selection process. However, since effective agencies use multiple assessment tools and tend not to rely solely on computer-based assessment tools and self-assessment portions in the selection process, one can surmise that the use of multiple assessments tools that confirm applicant competencies in different ways could enhance the effectiveness of a first-line supervisor selection process.

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[13] In 2011, FAMS is expected to revise its first-line supervisor selection process, incorporating additional assessment tools that better identifies the best qualified first-line supervisors in this organization.

5.   Other Observations

a.   *Agencies Impacted by the Establishment of DHS*

Following the development of the Department of Homeland Security in 2002, several agencies underwent significant reorganization. CBP, ICE, TSA and FEMA were all significantly impacted by the development of DHS. These agencies all were in the less effective FLSI group but demonstrated increased effectiveness over the three years examined (see Figure 1). This is most evident with TSA, which scored over three points higher from 2006–2010.[14] Although none of the agencies interviewed in this study have significantly modified their first-line supervisor selection process since 2005, it is possible that the impact of the stand-up of DHS on CBP, ICE, TSA and FEMA has affected the effectiveness of first-line supervisor's selection processes in each agency and the increased effectiveness on the FLSI is an indication of the stabilization of these impacted agencies. However, it can also be argued that each of these agencies have had almost a decade to improve their processes and therefore, at a minimum, should see greater increase in first-line supervisor effectiveness over the period this study focuses on. CBP, ICE, TSA and FEMA all fall well under the government-wide FLSI mean compared to other agencies examined like SS, USMS and CIS. Because of this, it appears unlikely that the changes caused by the standup of DHS were the only reason for these agencies having less effective first-line supervisor selection processes.

b.   *Leveraging Common Assessment Tools*

The implementation of each assessment tool has a cost burden associated to it. As depicted in Table 1 in Chapter II, OPM provides general insight into the financial burden each assessment may have on an agency. Interviews revealed that CBP and ICE appear to use innovative ways to lower costs for each agency. It appears that CBP and ICE leverage human resource personnel and common assessment tools to counter act these financial burdens. For example, for most first-line supervisor selection processes in CBP and ICE, one human resource office handles all aspects of the selection

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[14] Although an increase of three points does not appear significant, it is important to note that the nonsupervisor survey respondents for TSA increased from 448 in 2006 to 1156 in 2010. This increase is significant and makes TSA's three point increase important.

process. This includes information sheets for perspective applicants and the development and selection of assessment tools used in each process that address competencies being sought. This sharing of resources lowers the overall costs for each agency and creates consistency among agencies; however, the sharing of resources appears to negatively impact first-line supervisor selection processes when assessment methods employed are less effective since the processes and assessment methods impact more than one agency. In essence, perhaps it is the assessment tools used, not the sharing of human resource personnel, which has impacted the FLSI rank for CBP and ICE. When effective assessment methods are used by agencies that share human resource personnel, the first-line supervisor effectiveness will increase while minimizing the cost to each agency.

c. Use of Probationary Period

As indicated in the Chapter II, OPM suggests that the use of the probationary period is important and vital aspect of the selection process for government employees, specifically first-line supervisors. The interviews and policy reviews revealed that none of the agencies examined appeared to consider the probationary period to be part of the selection process. This is consistent with past studies that indicated that the probationary period was not used to weed out first-line supervisors that were not meeting performance standards and goals for first-line supervisors in each agency. As agencies struggle to select the most effective first-line supervisors, it appears that they should look to leverage the probationary period as a final assessment tool in their first-line supervisor selection process.

H. CONCLUSIONS

The survey data, interviews, and policy reviews conducted as part of this study provide significant insight into what makes an effective first-line supervisor selection processes in the federal government. It appears that the agencies examined follow the laws and regulations when selecting first-line supervisors; however, because OPM allows for substantial flexibilities in assessment methods used by each agency, the effectiveness of first-line supervisor selection processes is inconsistent. Additionally, the use of self-assessment tools, computer-based assessment methods and assessment tools that focus on

past performance, not current behavior, do not tend to produce effective first-line supervisors. Whereas, selection processes that use multi-method approaches like the use of in-person interactive assessment tools that assess desired behavior, appear to produce more effective first-line supervisors. Based on the results of data analyzed in this study, several recommendations can be made that perhaps could improve the first-line supervisor effectiveness in the federal government. This will be the subject of the next section.

V. CONCLUSIONS AND RECOMMENDATIONS

Not everything that can be counted counts, and not everything that counts
can be counted.

Albert Einstein

A. OVERVIEW

Bureaucracies are needed because they provide stability, order and protect liabilities (Beetham, 1974). As such, a bureaucracy like the federal government should not change policies and procedures quickly or haphazardly. By doing so, the stability the bureaucracy affords would be jeopardized. But in order for the federal government to keep up with changes in society and new threats, it has to be willing to incrementally adopt and update policies and procedures. This can be done through common sense recommendations that impact specific policies and procedures like those affecting first-line supervisor selection.

The role and importance of first-line supervisors in the federal government has drastically increased since 9/11; however, many of the policies, procedures and processes that govern the selection of this critical asset are outdated and ineffective (Human Resources Management Panel, 2003; O'Driscoll & Whitehouse, 2005; Office of Merit Systems Oversight and Effectiveness, 2001). These policies, procedures and processes push federal agencies to avoid doing wrong instead of pushing agencies to do right in the selection of first-line supervisors. Although agencies and hiring officials need latitude when selecting first-line supervisors, they should also be held accountable for the methods and processes that are used. Based on the results of the research conducted in this study, several observations and recommendations are provided. These observations and recommendations are intended to provide insights and potential best practices to federal agencies, human resource specialists and selecting officials who are interested in improving the quality of first-line supervisors in the federal government.

B.   PREDICTORS OF EFFECTIVE FIRST-LINE SUPERVISORS

It has long been argued that the best predictor of future performance is past performance. This is why most hiring or selection processes require evidence of past experience and training, often in the form of a resume or competency narratives. Today, many applicants hire professional resume and narrative writers, and organizations with limited resources use self-assessments as first hurdles in the selection process instead of verifying an applicant's background and experience. One might question if this is this the best way to select first-line supervisors. Additionally, these assessment tools usually reveal an applicant's technical competencies rather than competencies and leadership potential that are needed to be an effective first-line supervisor. Unlike many private companies that observe and evaluate employees for leadership potential as part of a development program that starts when they are first hired (Charan, 2008; Charan, Drotter, & Noel, 2001), the federal government tends to evaluate employees not on what they have the capability to do, but rather what they have done in the past. This can be a faulty basis on which to evaluate employees because past experience may have little to do with leadership potential or success as a supervisor. While effective first-line supervisors might be selected by this method through happenstance, the federal government is better served by purposefully selecting the best candidates for first-line supervisor jobs.

It is unlikely that federal agencies will be able to accurately and fairly create an environment similar to private companies where leadership development is an evolutionary and deliberate process. Constant turnover in agencies and governing laws and regulations make this difficult, if not impossible, in the federal government. So the federal government must build into its first-line supervisor selection process steps that will best position agencies for selecting the most effective first-line supervisors. These steps cannot be solely the agency's responsibility. They have to be woven into several layers of the government from the selecting official to Office of Personnel Management (OPM). This will ensure the selection processes for first-line supervisors are fair and consistent, reliably produce effective first-line supervisors, and are resistant to changes in Presidential Administrations and senior political appointees leading agencies.

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To anchor the selection processes in all levels in federal organizations, the government must fundamentally change the way they view and assess competencies required by first-line supervisors. Clearly, past experience and training is an important aspect of any application; however, the government cannot allow agencies to solely use an applicant's reported background and experience. It is merely a first hurdle in a selection process. As Buckingham and Coffman (1999) suggest, past performance alone is not an indicator of future success. Predictive power comes from a *frequent* pattern of the behavior. This predicative power only can be uncovered through assessment tools that reveal the frequent and demonstrated patterns of behavior that are being sought as part of the designated competencies. This study suggests specific action that should be taken by any agency or leader who wants to produce effective leadership at the first-line supervisor level.

C.   THE ROLE OF OPM IN FIRST-LINE SUPERVISOR SELECTION

As the human resource agency within the federal government, OPM should assume a more active role in guiding design of the selection process of first-line supervisors. That is, they should require agencies to do more than just rely on past experience and training. On May 11, 2010, President Obama issued a federal hiring reform memorandum. The guidance in the memorandum called for modifying the hiring and recruiting of federal employees. Key modifications were:

- Elimination of written essays (KSAs)
- Allow individuals to apply with resume and cover letter
- Use category rating
- Ensure manager responsibility and accountability for hiring
- Improve quality and speed of hiring (Obama, 2010)

Although this memorandum is not directed solely at first-line supervisor selection, it demonstrates the Administration's concern and focus on federal human capital activities. The established reform guidance and subsequent actions taken by OPM to ensure this guidance is implemented represents significant steps in improving the federal workforce; however, if one reviews the Fiscal Year 2010 Agency Financial Report

published by OPM, it is clear that although OPM is focused on the federal hiring reform, the primary focus of OPM does not include first-line supervisor selection (United States Office of Personnel Management, 2010). By not putting more emphasis on first-line supervisors, the reforms that President Obama is requiring will fail. Effective first-line supervisors are needed to mentor, lead, and provide guidance to the federal employees President Obama is targeting with this hiring reform. Concurrent to the reforms required by the President, OPM must examine and move to reform its role in the selection processes at the first-line supervisor level, if it wants to meet the second part of the agency's strategic mission of retaining and honoring the federal workforce. This is because studies have shown that employees will stay in an organization primarily based on their supervisor. Hence, there is more at stake than selection and development of first-line supervisors. Retention of the workforce is at risk as well. Specifically, in a 2004 Corporate Leadership Council study, 50,000 employees worldwide indicated that 22 of the top 25 drivers of employee's retention at their company were supervisor-led (Thompson, 2007, p. 3).

It is unrealistic for OPM to completely take over or overhaul the first-line supervisor selection process in a centralized manner; however, by refining first-line supervisor selection guidance, OPM can effect change in first-line supervisor selection processes without taking control and autonomy away from the agencies that OPM serves.

While OPM, as discussed in Chapter II, provides extensive assessment tools and resources to federal agencies, interviews and policy reviews conducted during this study suggest OPM leaves the decision about use of these tools to the various agencies. Although this decentralized approach provides enormous flexibility to agencies to develop first-line supervisor selection processes customized to an agency's unique needs, it creates an environment that does not cultivate effective selection processes needed or selection consistency.

Perhaps OPM should implement a system that provides more stringent regulations for the assessment and selection methods used to select first-line supervisors. Using best selection practices, some of which were examined in this study, OPM could provide minimum assessment method options based on constraints identified by each agency.

Instead of just informing agencies of the assessment tools pros and cons based on agency restraints, OPM should require minimum assessment methods that are needed based on certain restraints. For example, if an agency has several hundred possible applicants for a supervisory position that needs to be filled within 60 days, perhaps OPM could provide a minimum set of assessment tools that agencies should chose from that would accomplish their goal; yet at the same time, ensure selection processes that have the best opportunity of identifying the best qualified applicants and that would prevent agencies from only using self-assessments and competency narratives in evaluating applicants.

By creating minimum selection process criteria, OPM would take a substantial step in ensuring first-line supervisor selection processes across agencies are more effective than the processes that are currently used. This minimum selection criteria would allow for agencies to continue crafting selection processes to fit their individual needs but create a level of consistency in the federal government that will strengthen its foundation—the first-line supervisors.

D. CREATING CONNECTEDNESS WITHIN DHS

This study revealed agencies that have the least effective first-line supervisor selection processes are those impacted by the stand up of DHS, specifically FEMA, CBP, ICE and TSA. This is one more piece of evidence that indicates many of the agencies that fall under DHS struggle to stabilize and create effective processes. Clearly, as many Government Accountability Office (GAO) reports have indicated, there are several potential steps that will create more stability and consistency for the agencies that fall under DHS (U.S. Governement Accountability Office, 2008; 2010).

Most of the recommendations provided by GAO are at a strategic level such as implementing management functions and strengthening performance measurements in DHS. Since DHS agencies tended to score lower on perceptive measures of effectiveness (the FLSI), perhaps DHS can make strides in accomplishing these strategic recommendations by focusing on a specific process such as the first-line supervisor selection process, one that impact all agencies within DHS. As DHS continues to

establish itself as a cabinet level agency and as the culture builds within this agency, it is critical to establish common threads and standards, wherever possible, fostering a unified DHS.

A common first-line supervisor assessment process would be an important step in creating a more connected DHS culture in which all the sub-agencies use the same process to select employees for leadership responsibility. Similar to the Treasury Department's Treasury Enforcement Agent Exam (TEA) and Department of Defense's Armed Services Vocational Aptitude Battery (ASVAB), DHS should create a common assessment test that all potential first-line supervisors within DHS must pass. Granted, the TEA and ASVAB are administered for entry-level positions, but what is important and can be applied to the first-line supervisor selection process is the consistency and a common thread that the ASVAB and TEA creates. Regardless of the military branch or military specialty, every applicant must take the ASVAB. Each military branch determines how to use the ASVAB score to determine the military specialty for which the applicant is eligible. This common test is required by all military branches and creates consistency and a common evaluation standard. By employing a common first hurdle assessment test for first-line supervisors, DHS will create more connectedness within the department.

As discussed in the results section of this study, the use of assessment tools varies greatly among the agencies examined. Although the agencies need latitude to structure the selection processes that best meets the competencies and qualifications needed, there are benefits to having a baseline hurdle that all first-line supervisors must go through in order to be considered for specific positions in a given agency. For example, there are several Psychometric tests like cognitive ability[15] and emotional intelligence[16] tests that can be administered online and could provide several benefits to DHS, its sub-agencies

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[15] Cognitive ability tests test abilities involved in thinking (reasoning, perception, memory, verbal, and mathematical ability and problem solving).

[16] Emotional intelligence (EI) test is defined as a type of social competence involving the ability to monitor one's own and other's emotions, to discriminate among them, and to use the information to guide one's thinking and actions. EI is fairly specific ability that connects a person's knowledge processes to his or her emotional processes.

and selecting officials. These psychometric tests evaluate an applicant's abilities involved in thinking, to include reasoning, perception, memory, and problem solving and how these abilities are connected to his or her emotional processes. A standard psychometric test would provide the following benefits to the agencies that fall within DHS:

1.   Provide valuable demographic information to OPM, DHS and sub-agencies that could be important in analyzing the federal workforce.

2.   Increase face validity[17] of first-line supervisor's selection processes across the federal government, which impacts overall morale and support of first-line supervisors.

3.   Create a first-line supervisor competency baseline that gives insight into competencies being sought by each agency.

4.   Provide a strand of unity among all first-line supervisors. Therefore, if a first-line supervisor desires to changes agencies, the receiving agency could use these scores as a first step in determining suitability.

5.   Remove part of the financial burden from agencies and ensures the reevaluation and modification of such assessment tests could be uniformly updated and applied across the federal workforce in DHS.

This first-hurdle assessment test would not require a mandatory elimination of potential first-line supervisors based on a set minimum score. Instead, similar to the military and the Treasury Department, the agency the applicant is applying for would receive the complete list of names with the scores from the psychometric test(s). It would be up to each agency to determine how these results would factor into the first-line supervisor process they have in place. For example, if an agency uses self-assessments, interviews or situational judgment tests in the selection process, the psychometric test results could be compared to these results to validate findings from these assessment tools. This will provide insights into specific applicants that an agency might want to further investigate.

With over 200,000 employees, the DHS workforce is large, which makes it hard to create and ensure consistency in any human resource function. By creating an online

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[17] Face validity is how a process appears at "face value." Does a process appear to select first-line supervisors in a fair and unbiased way?

centralized common first-hurdle test for first-line supervisors, perhaps this would assist DHS in creating consistency in first-line supervisor selection processes and begin to establish overall connectedness within the department.

E.   SELECTION PROCESS BEST PRACTICES

As stated before, this study is not intended to suggest a cookie-cutter selection process for selecting effective first-line supervisors. This would discount several factors that influence the effectiveness of first-line supervisors that are outside the scope of the selection process. But the results of this study suggest there are several best practices that surface for selecting first-line supervisors.

1.   Avoid Self Assessment

Self-assessments produce potentially flawed results. If an agency uses self-assessments, they should be used as an assessment tool only in the first hurdle of the selection process. Most applicants know that to be considered and make it through the first hurdle of a selection process, a certain score has to be obtained through self-assessment. Therefore, there is no drawback for an applicant to inflate the rating. Self-assessment tools allow for dishonest applicants to make it to the next hurdle with little fear of being held accountable; whereas honest, potentially great first-line supervisors may not make the cut. This dramatically impacts morale in an organization since the self-assessments may be prone to having unqualified applicants make it to the next hurdle, whereas potentially qualified applicants may get disqualified and are unable to advance. This study reveals that the agencies that were rated as less effective relied on self-assessment as part of their first hurdle for selection of first-line supervisors. Doing away with self-assessments tools, agencies could save money or invest in more valid assessment tools.

2.   Applicant Interaction Assessment Tools

The agencies defined as effective in this study all had some applicant interaction assessment tools used in their selection process. The FBI's interaction was through a telephone administered in-box assessment tool, whereas the DEA and ATF both used

assessment centers that contained multiple assessment tools, many requiring in-person observations of desired competencies and behaviors. Observation assessment tools such as interviews, practical exercises and simulations, provide the connection between what an applicant has the potential to do based upon his or her training and experience, and what an applicant can currently demonstrate. This allows evaluators and assessors to observe current behaviors that actually apply to required and important supervisor competencies. Additionally, more applicant interactive assessment tools could help eliminate the federal government's habit of selecting first-line supervisors based on technical expertise instead of supervisor capabilities and competencies.

3.   Multi-Method Approach

More than one selection assessment tool is needed in any first-line supervisor selection process in the federal government. Although the results of this study seem somewhat inconclusive regarding the number of hurdles and assessment tools needed, it is clear agencies with more effective first-line supervisors (rated by the FLSI) used multiple assessment tools, did not rely solely on self-assessments and used assessment tools that required applicant interaction. Additionally, this multi-method approach is consistent with recommendations from OPM and the Department of Labor (United States Department of Labor, 2000; U.S. Office of Personnel Management, 2007). In short, this approach provides the clearest picture of a candidate's abilities in terms of competencies being sought because is reveals frequent patterns of behavior. Most private companies do not have set selection hurdles or tools in their first-line supervisor selection processes since they evaluate potential first-line supervisors over a period of time instead of a set selection process. However, since the federal government uses a set selection process, in order to get the best understanding of the applicant's competencies, agencies should use a multi-method approach in evaluating applicants. Additionally, when deciding on the assessment tools to use, agencies should select assessment tools that complement each other and not just provide the same information in a different or disjointed manner. This multiple hurdle and multiple assessment tool approach allows for the evaluation of applicants by multiple evaluators and methods. Lastly, this approach provides more process validity, which is important for morale of current and future applicants, as well as

the employees who will report to these new supervisors. If an agency hopes to recruit the best employees for first-line supervisor positions, the process must be fair, valid, transparent and select the best qualified candidates.

F.   MEASURING FIRST LINE SUPERVISORS

H. James Harrington stated:

Measurement is the first step that leads to control and eventually to improvement. If you can't measure something, you can't understand it. If you can't understand it, you can't control it. If you can't control it, you can't improve it.

Perhaps the government's inability to measure first-line supervisor performance is the reason why the effectiveness of first-line supervisors in the federal government continues to be called into question. Although the best practices mentioned above will potentially assist in selecting effective first-line supervisors, in order to allow agencies to determine if changes to first-line supervisor selection processes are working, there must be a method to gauge and monitor the effectiveness of first-line supervisors.

This study used the perceptions of nonsupervisory employees, measured by the First-Line Supervisor Index (FLSI), to determine the effectiveness of first-line supervisors in the agencies examined. Although the validity of perceptive measures can be questioned, these tools have been shown to have a high positive correlation to other measures of performance that can be used in examining the effectiveness of first-line supervisors. As described in Chapter II, a multi-method approach is perhaps the most valid method to measure performance and effectiveness; however, when examining first-line supervisors in the federal government, there is currently no other data available that can be used that examines effectiveness of first-line supervisors at the micro level. Therefore, potential questions about the usefulness of perceptive measures should not stop the federal government from using these perceptions to measure performance and effectiveness of first-line supervisors.

The FLSI used in this study was a combination of eight questions (see Table 7 and Appendix A) that were consistently used in the Federal Human Capital Survey (FHCS) in 2006 and 2008, in the Federal Employee Viewpoint Survey (FedView) in

2010 and focused on specific behaviors and outcomes of first-line supervisors. In 2010, as part of the FedView, OPM created a "My Supervisor/Team Leader" sub-index that contained the eight questions consistent throughout the three examined in this study and three additional questions.

Table 7.   Supervisor/Team Leader Questions

My Supervisor/Team Leader Sub-Index	2006/2008	2010
My supervisor supports my need to balance work and other life issues.	√	√
My supervisor/team leader provides me with opportunities to demonstrate my leadership skills	√	√
Discussions with my supervisor/team leader about my performance are worthwhile.	√	√
My supervisor/team leader is committed to work force representative of all segments of society.	√	√
My supervisor/team leader provides me with constructive suggestions to improve my job performance.	√	√
Supervisors/team leaders in my work unit support employee development.	√	√
My supervisor/team leader listens to what I have to say.		√
My supervisor/team leader treats me with respect.		√
In the last six months, my supervisor/team leader has talked with me about my performance.		√
I have trust and confidence in my supervisor.	√	√
Overall, how good a job do you feel is being done by your immediate supervisor/team leader?	√	√

By using the 11 questions from "My Supervisor/Team Leader" sub-index, agencies can begin to track and measure first-line supervisor performance and effectiveness. Since OPM has begun administering the FedView every year starting in 2010, agencies can track first-line supervisor performance and effectiveness as part of a yearly review. This will provide immediate feedback and insight to any changes that agencies might have made in the first-line supervisor selection processes or other policy changes that impact first-line supervisor performance and effectiveness within their agency.

G.   THE COST OF SELECTING EFFECTIVE FIRST-LINE SUPERVISORS

During the interviews conducted for this study, human resource specialists expressed concern about the cost associated with selection processes. Many persons interviewed reported cost often impacted the choice of assessment methods used in first-

line supervisor selection. Recent budget cuts will continue to make the cost associated with selection processes an issue of concern for agencies. Therefore, DHS, which had the lower FLSI scores, must look for innovative ways to allow agencies to use needed assessment tools but keep costs down. Although there are numerous innovative ways to cut costs for selection processes, this study revealed two that are of note.

First, by implementing a standard first hurdle psychometric assessment test, the costs potentially can be reduced for agencies within DHS depending on how they plan to use the test in the overall selection process. Second, DHS human resource representatives should coordinate with each other to share assessment methods they have in common. Although this study revealed that CBP and ICE have less effective first-line supervisors compared to the other agencies examined, a best practice in potentially saving money was revealed. CBP and ICE reduce the cost of first-line supervisor selection by sharing common selection methods for first-line supervisors. This practice could be emulated by all DHS agencies as a strategy to cut down costs associated with implementing best practices for first-line supervisor selection. Additionally, by sharing costs, resources and assessment tools, the use of common best practice standards and connectedness among agencies within DHS will be enhanced.

Clearly, the agencies within DHS need to find ways to implement best practices to improve selection processes for first-line supervisors while keeping the financial burden for any one agency at a minimum. Senior executives of each DHS agency need to remember the potential cost of poor or ineffective first-line supervisor selection processes goes beyond a human resource budget allocation; that is; the loss of employees supervised by poor first-line supervisors. Ineffective selection of first-line supervisors, thus, can have a cascading effect that is hard to quantify, but potentially very costly because first-line supervisors are crucial to the day-to-day operation of any organization. They are directly responsible for day-to-day leadership, coaching, mentoring, job performance and retention of nonsupervisory employees (Human Resources Management Panel, 2003), and they ensure that the vision, guidance and direction of executive leaders become reality in an organization. It is reasonable to say that the cost paid by an agency

that selects ineffective supervisors, grossly outweighs the costs associated with implementing an effective first-line supervisor selection process.

H.   FUTURE RESEARCH

Several important areas of further research should be pursued. First, researchers should try to improve the perceptive measures of first-line supervisor effectiveness (FLSI) used in this study or create a new, more effective measure that would allow first-line supervisor performance to be assessed on a regular basis.

Correspondence between perceptive measures of effectiveness and more objective measures of effectiveness needs to be explored as well. Mapping out the links between specific behaviors and outcomes like effectiveness would be very helpful for designing first-line supervisor training activities.

Researchers should also examine what effect substantial changes in first-line supervisor selection process might have on how an agency's supervisors are rated on the FLSI.

Lastly, first-line supervisor selection best practices should be identified for any of these follow-on research efforts. Application of these best practices in specific agencies should be favorably considered to improve the overall quality of supervision in the federal government.

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APPENDIX A.   FIRST-LINE SUPERVISOR INDEX SURVEY INFORMATION

Table 8.   First-Line Supervisor Index Questions

First-Line Supervisor Index Questions			
Survey Question Number			
2006	2008	2010	
12	12	42	My supervisor supports my need to balance work and other life issues.
13	13	43	My supervisor/team leader provides me with opportunities to demonstrate my leadership skills.
31	31	44	Discussions with my supervisor/team leader about my performance are worthwhile.
33	34	45	My supervisor/team leader is committed to a workforce representative of all segments of society.
47	48	46	My supervisor/team leader provides me with constructive suggestions to improve my job performance.
48	49	47	Supervisors/team leaders in my work unit support employee development.
7	7	51	I have trust and confidence in my supervisor.
9	9	52	Overall, how good a job do you feel is being done by your immediate supervisor/team leader?

Table 9.   First-Line Supervisor Demographic Characteristics

Demographic Characteristics	
What is your supervisory status? (DSUPER)	
2010	Nonsupervisor/Team Leader
	Supervisor
	Manager/Executive
2006 & 2008	Nonsupervisor
	Team Leader
	Supervisor
	Manager
	Executive *Note: All 2006 and 2008 data was re-coded to match the 2010 DSUPER selection options*

Table 10.   First-Line Supervisor Index Value Labels

Value Labels For FLSI Items			
Question Number Per Year			
2006	2008	2010	
12	12	42	5=Strongly Agree
13	13	43	4=Agree
31	31	44	3=Neither Agree nor Disagree
33	34	45	2=Disagree
47	48	46	1=Strongly Disagree
48	49	47	X=Do Not Know
7	7	51	5=Strongly Agree
			4=Agree
			3=Neither Agree nor Disagree
			2=Disagree
			1=Strongly Disagree
9	9	52	5=Very Good
			4=Good
			3=Fair
			2=Poor
			1=Very Poor

Table 11.   Agency Survey Code for Federal Human Capital Survey and Federal Viewpoint Survey

Survey Code	Agency
DEA	Drug Enforcement Administration (DEA)
DJ02	Federal Bureau of Investigation (FBI)
DJ08	U.S. Marshals Service (USMS)
DJ15	Alcohol, Tobacco, Firearms, and Explosives (ATF)
HSAB	Citizenship and Immigration Services (CIS)
HSAC	U.S. Coast Guard (CG)
HSAD	U.S. Secret Service (SS)
HSBB	Immigration and Customs Enforcement (ICE)
HSBC	Transportation Security Administration (TSA)
HSBD	Customs and Border Protection (CBP)
HSCB	Federal Emergency Management Agency (FEMA)

APPENDIX B.   FIRST-LINE SUPERVISOR SELECTION PROCESS BENCHMARKS

Table 12.   Benchmarks for First-Line Supervisor Selection Processes

Hurdles	ATF		DEA		FBI		ICE	CBP		TSA	
	Non-Law Enfor	Special Agent	Non-Law Enfor	Special Agent	Special Agent	Non-Law Enfor	Special Agent	Officer/Agricul	Border Patrol	Non-Law Enfor	Air Marshal
1st Hurdle	KSA and Resume Application Package	Assessment Center- (Oral Presentation, Simulations, Panel Interview)	KSA and Resume Application Package	Supervisor Rating	Leadership Skills Assessment In-Baske Simulation	KSA and Resume Application Package	Logic Reasoning Test	Logic Reasoning Test	Logic Reasoning Test	KSA and Resume Application Package	KSA and Resume Application Package
				Assessment Center- (Panel interview, Simulations, Written Test)			Multiple Choice Writing Test	Multiple Choice Writing Test	Multiple Choice Writing Test		Supervisor Rating
							Computer-Based In-Basket Simulation	In-Basket Simulation	In-Basket Simulation		
							Job-knowledge Test	Career Experience Invetory	Career Experience Invetory		
									Job-Knowledge Test		
Administration	Electronic Submission	In-person/Computer Based	Electronic Submission	In-person/Computer Based	3 Person Panel-Telephone	Electronic Submission	Electronic Submission	Electronic Submission	Electronic Submission	Electronic Submission	Electronic Submission
2nd Hurdle	Struture Interview		Struture Interview	HQ Career Board	Competencies Narrative Reviewed by SES-Level Board	Struture Interview				Struture Interview	HQ Career Board
Administration	In-Person at Field Office		In-Person at Field Office	HQ Panel	HQ Career Board	In-Person at Field Office				In-Person at Field Office	HQ 3 Person Panel

First-Line Supervisor Selection Process

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APPENDIX C.   ANOVA TABLES/GRAPHS

Table 13.   ANOVA 2006

ANOVA 2006		Sum of Squares	df	Mean Square	F	Sig.
FLSI	Between Groups	18534.990	10	1853.499	32.925	.000
	Within Groups	388993.442	6910	56.294		
	Total	407528.432	6920			
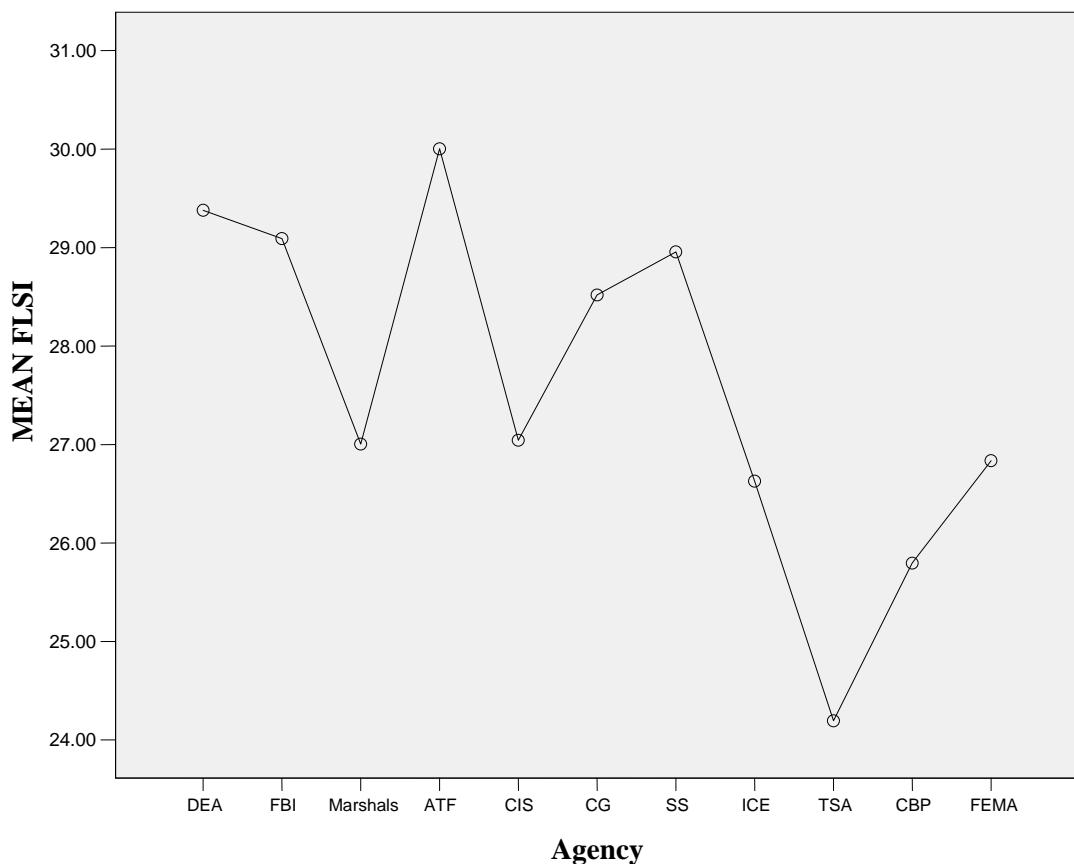
Figure 2.   2006 ANOVA Means Plots

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Table 14.   ANOVA 2008

ANOVA 2008		Sum of Squares	df	Mean Square	F	Sig.
FLSI	Between Groups	13915.978	10	1391.598	23.209	.000
	Within Groups	474997.396	7922	59.959		
	Total	488913.374	7932			
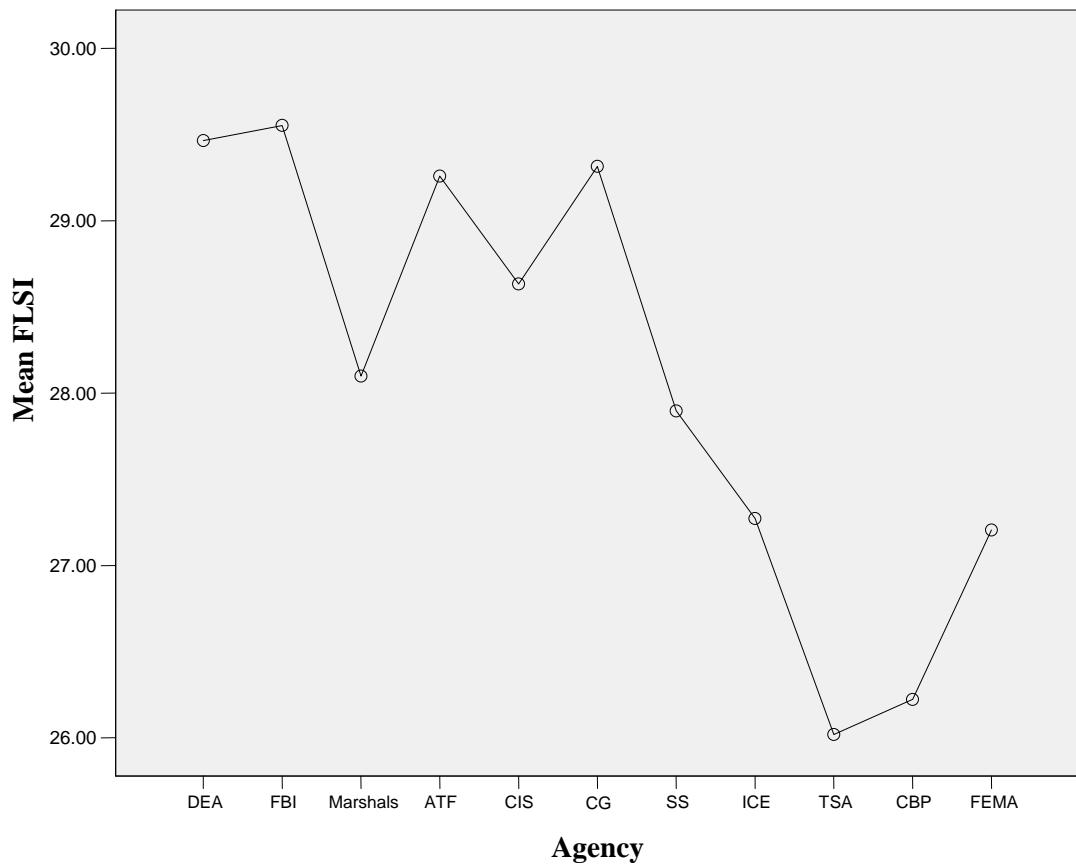
Figure 3.   2008 ANOVA Means Plots

Table 15.   ANOVA 2010

ANOVA 2010		Sum of Squares	df	Mean Square	F	Sig.
FLSI	Between Groups	10393.630	10	1039.363	14.604	.000
	Within Groups	639606.256	8987	71.170		
	Total	649999.886	8997			
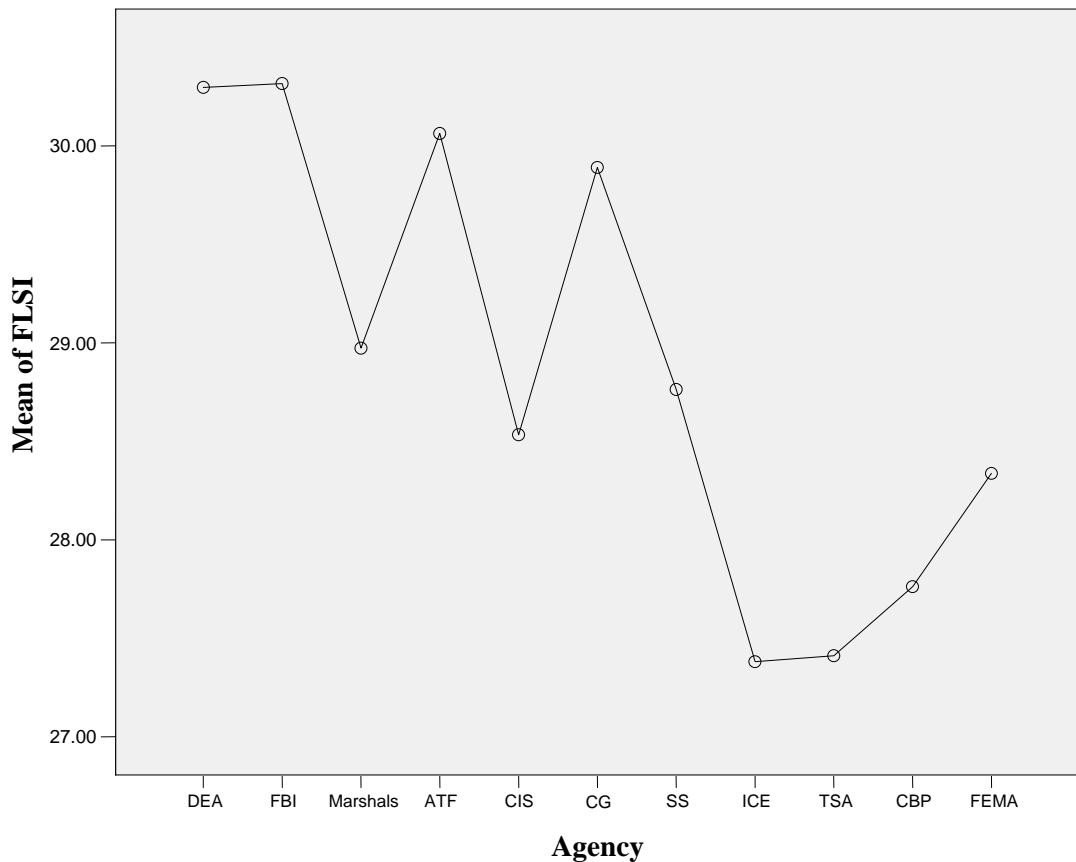
Figure 4.   2010 ANOVA Means Plots

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APPENDIX D. FLSI CORRELATION TABLES

Table 16.   2006 Correlation Tables

DEA 2006		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.787(**)	.982(**)
	Sig. (2-tailed)		.000	.000
	N	1175	1175	1175
Outcome Factor	Pearson Correlation	.787(**)	1	.890(**)
	Sig. (2-tailed)	.000		.000
	N	1175	1175	1175
FLSI[18]	Pearson Correlation	.982(**)	.890(**)	1
	Sig. (2-tailed)	.000	.000	
	N	1175	1175	1175

FBI 2006		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.725(**)	.973(**)
	Sig. (2-tailed)		.000	.000
	N	422	420	420
Outcome Factor	Pearson Correlation	.725(**)	1	.864(**)
	Sig. (2-tailed)	.000		.000
	N	420	432	420
FLSI	Pearson Correlation	.973(**)	.864(**)	1
	Sig. (2-tailed)	.000	.000	
	N	420	420	420

USMS 2006		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.762(**)	.980(**)
	Sig. (2-tailed)		.000	.000
	N	530	530	530
Outcome Factor	Pearson Correlation	.762(**)	1	.876(**)
	Sig. (2-tailed)	.000		.000
	N	530	530	530
FLSI	Pearson Correlation	.980(**)	.876(**)	1
	Sig. (2-tailed)	.000	.000	
	N	530	530	530

** Correlation is significant at the 0.01 level (2-tailed).

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[18] The FLSI is the aggregate mean of eight questions concerning first-line supervisor behavior s and outcomes. The behavior factor is the aggregate mean of behaviors (six questions) and the outcome factor is the aggregate mean of the outcomes (two questions) in the FLSI.

ATF 2006		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.803(**)	.983(**)
	Sig. (2-tailed)		.000	.000
	N	557	557	557
Outcome Factor	Pearson Correlation	.803(**)	1	.898(**)
	Sig. (2-tailed)	.000		.000
	N	557	557	557
FLSI	Pearson Correlation	.983(**)	.898(**)	1
	Sig. (2-tailed)	.000	.000	
	N	557	557	557

CIS 2006		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.752(**)	.981(**)
	Sig. (2-tailed)		.000	.000
	N	647	647	647
Outcome Factor	Pearson Correlation	.752(**)	1	.866(**)
	Sig. (2-tailed)	.000		.000
	N	647	647	647
FLSI	Pearson Correlation	.981(**)	.866(**)	1
	Sig. (2-tailed)	.000	.000	
	N	647	647	647

USCG 2006		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.804(**)	.985(**)
	Sig. (2-tailed)		.000	.000
	N	695	695	695
Outcome Factor	Pearson Correlation	.804(**)	1	.895(**)
	Sig. (2-tailed)	.000		.000
	N	695	695	695
FLSI	Pearson Correlation	.985(**)	.895(**)	1
	Sig. (2-tailed)	.000	.000	
	N	695	695	695

** Correlation is significant at the 0.01 level (2-tailed).

USSS 2006		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.764(**)	.980(**)
	Sig. (2-tailed)		.000	.000
	N	537	537	537
Outcome Factor	Pearson Correlation	.764(**)	1	.878(**)
	Sig. (2-tailed)	.000		.000
	N	537	537	537
FLSI	Pearson Correlation	.980(**)	.878(**)	1
	Sig. (2-tailed)	.000	.000	
	N	537	537	537

ICE 2006		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.758(**)	.980(**)
	Sig. (2-tailed)		.000	.000
	N	604	604	604
Outcome Factor	Pearson Correlation	.758(**)	1	.872(**)
	Sig. (2-tailed)	.000		.000
	N	604	604	604
FLSI	Pearson Correlation	.980(**)	.872(**)	1
	Sig. (2-tailed)	.000	.000	
	N	604	604	604

TSA 2006		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.804(**)	.984(**)
	Sig. (2-tailed)		.000	.000
	N	453	448	448
Outcome Factor	Pearson Correlation	.804(**)	1	.896(**)
	Sig. (2-tailed)	.000		.000
	N	448	458	448
FLSI	Pearson Correlation	.984(**)	.896(**)	1
	Sig. (2-tailed)	.000	.000	
	N	448	448	448

** Correlation is significant at the 0.01 level (2-tailed).

CBP 2006		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.752(**)	.980(**)
	Sig. (2-tailed)		.000	.000
	N	847	847	847
Outcome Factor	Pearson Correlation	.752(**)	1	.867(**)
	Sig. (2-tailed)	.000		.000
	N	847	847	847
FLSI	Pearson Correlation	.980(**)	.867(**)	1
	Sig. (2-tailed)	.000	.000	
	N	847	847	847

FEMA 2006		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.811(**)	.983(**)
	Sig. (2-tailed)		.000	.000
	N	461	461	461
Outcome Factor	Pearson Correlation	.811(**)	1	.904(**)
	Sig. (2-tailed)	.000		.000
	N	461	461	461
FLSI	Pearson Correlation	.983(**)	.904(**)	1
	Sig. (2-tailed)	.000	.000	
	N	461	461	461

** Correlation is significant at the 0.01 level (2-tailed).

Table 17.   2008 Correlation Tables

DEA 2008		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.815(**)	.984(**)
	Sig. (2-tailed)		.000	.000
	N	936	936	936
Outcome Factor	Pearson Correlation	.815(**)	1	.905(**)
	Sig. (2-tailed)	.000		.000
	N	936	936	936
FLSI	Pearson Correlation	.984(**)	.905(**)	1
	Sig. (2-tailed)	.000	.000	
	N	936	936	936

FBI 2008		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.701(**)	.971(**)
	Sig. (2-tailed)		.000	.000
	N	305	302	302
Outcome Factor	Pearson Correlation	.701(**)	1	.851(**)
	Sig. (2-tailed)	.000		.000
	N	302	309	302
FLSI	Pearson Correlation	.971(**)	.851(**)	1
	Sig. (2-tailed)	.000	.000	
	N	302	302	302

USMS 2008		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.823(**)	.985(**)
	Sig. (2-tailed)		.000	.000
	N	1471	1471	1471
Outcome Factor	Pearson Correlation	.823(**)	1	.909(**)
	Sig. (2-tailed)	.000		.000
	N	1471	1471	1471
FLSI	Pearson Correlation	.985(**)	.909(**)	1
	Sig. (2-tailed)	.000	.000	
	N	1471	1471	1471

ATF 2008		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.842(**)	.988(**)
	Sig. (2-tailed)		.000	.000
	N	405	405	405
Outcome Factor	Pearson Correlation	.842(**)	1	.916(**)
	Sig. (2-tailed)	.000		.000
	N	405	405	405
FLSI	Pearson Correlation	.988(**)	.916(**)	1
	Sig. (2-tailed)	.000	.000	
	N	405	405	405

** Correlation is significant at the 0.01 level (2-tailed).

CIS 2008		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.777(**)	.983(**)
	Sig. (2-tailed)		.000	.000
	N	417	417	417
Outcome Factor	Pearson Correlation	.777(**)	1	.880(**)
	Sig. (2-tailed)	.000		.000
	N	417	417	417
FLSI	Pearson Correlation	.983(**)	.880(**)	1
	Sig. (2-tailed)	.000	.000	
	N	417	417	417

USCG 2008		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.796(**)	.984(**)
	Sig. (2-tailed)		.000	.000
	N	539	539	539
Outcome Factor	Pearson Correlation	.796(**)	1	.892(**)
	Sig. (2-tailed)	.000		.000
	N	539	539	539
FLSI	Pearson Correlation	.984(**)	.892(**)	1
	Sig. (2-tailed)	.000	.000	
	N	539	539	539

USSS 2008		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.774(**)	.983(**)
	Sig. (2-tailed)		.000	.000
	N	359	359	359
Outcome Factor	Pearson Correlation	.774(**)	1	.878(**)
	Sig. (2-tailed)	.000		.000
	N	359	359	359
FLSI	Pearson Correlation	.983(**)	.878(**)	1
	Sig. (2-tailed)	.000	.000	
	N	359	359	359

** Correlation is significant at the 0.01 level (2-tailed).

ICE 2008		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.781(**)	.981(**)
	Sig. (2-tailed)		.000	.000
	N	370	370	370
Outcome Factor	Pearson Correlation	.781(**)	1	.886(**)
	Sig. (2-tailed)	.000		.000
	N	370	370	370
FLSI	Pearson Correlation	.981(**)	.886(**)	1
	Sig. (2-tailed)	.000	.000	
	N	370	370	370

TSA 2008		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.794(**)	.984(**)
	Sig. (2-tailed)		.000	.000
	N	1169	1169	1169
Outcome Factor	Pearson Correlation	.794(**)	1	.889(**)
	Sig. (2-tailed)	.000		.000
	N	1169	1169	1169
FLSI	Pearson Correlation	.984(**)	.889(**)	1
	Sig. (2-tailed)	.000	.000	
	N	1169	1169	1169

CBP 2008		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.787(**)	.983(**)
	Sig. (2-tailed)		.000	.000
	N	1606	1606	1606
Outcome Factor	Pearson Correlation	.787(**)	1	.886(**)
	Sig. (2-tailed)	.000		.000
	N	1606	1606	1606
FLSI	Pearson Correlation	.983(**)	.886(**)	1
	Sig. (2-tailed)	.000	.000	
	N	1606	1606	1606

** Correlation is significant at the 0.01 level (2-tailed).

FEMA 2008		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.797(**)	.982(**)
	Sig. (2-tailed)		.000	.000
	N	359	359	359
Outcome Factor	Pearson Correlation	.797(**)	1	.897(**)
	Sig. (2-tailed)	.000		.000
	N	359	359	359
FLSI	Pearson Correlation	.982(**)	.897(**)	1
	Sig. (2-tailed)	.000	.000	
	N	359	359	359

** Correlation is significant at the 0.01 level (2-tailed).

Table 18.   2010 Correlation Tables

DEA 2010		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.843(**)	.988(**)
	Sig. (2-tailed)		.000	.000
	N	1171	1162	1162
Outcome Factor	Pearson Correlation	.843(**)	1	.914(**)
	Sig. (2-tailed)	.000		.000
	N	1162	1181	1162
FLSI	Pearson Correlation	.988(**)	.914(**)	1
	Sig. (2-tailed)	.000	.000	
	N	1162	1162	1162

FBI 2010		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.781(**)	.985(**)
	Sig. (2-tailed)		.000	.000
	N	240	234	234
Outcome Factor	Pearson Correlation	.781(**)	1	.877(**)
	Sig. (2-tailed)	.000		.000
	N	234	240	234
FLSI	Pearson Correlation	.985(**)	.877(**)	1
	Sig. (2-tailed)	.000	.000	
	N	234	234	234

** Correlation is significant at the 0.01 level (2-tailed).

USMS 2010		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.849(**)	.989(**)
	Sig. (2-tailed)		.000	.000
	N	1641	1628	1628
Outcome Factor	Pearson Correlation	.849(**)	1	.918(**)
	Sig. (2-tailed)	.000		.000
	N	1628	1647	1628
FLSI	Pearson Correlation	.989(**)	.918(**)	1
	Sig. (2-tailed)	.000	.000	
	N	1628	1628	1628

ATF 2010		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.849(**)	.989(**)
	Sig. (2-tailed)		.000	.000
	N	1653	1644	1644
Outcome Factor	Pearson Correlation	.849(**)	1	.917(**)
	Sig. (2-tailed)	.000		.000
	N	1644	1664	1644
FLSI	Pearson Correlation	.989(**)	.917(**)	1
	Sig. (2-tailed)	.000	.000	
	N	1644	1644	1644

CIS 2010		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.836(**)	.989(**)
	Sig. (2-tailed)		.000	.000
	N	662	658	658
Outcome Factor	Pearson Correlation	.836(**)	1	.908(**)
	Sig. (2-tailed)	.000		.000
	N	658	663	658
FLSI	Pearson Correlation	.989(**)	.908(**)	1
	Sig. (2-tailed)	.000	.000	
	N	658	658	658

** Correlation is significant at the 0.01 level (2-tailed).

USCG 2010		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.806(**)	.986(**)
	Sig. (2-tailed)		.000	.000
	N	554	549	549
Outcome Factor	Pearson Correlation	.806(**)	1	.893(**)
	Sig. (2-tailed)	.000		.000
	N	549	558	549
FLSI	Pearson Correlation	.986(**)	.893(**)	1
	Sig. (2-tailed)	.000	.000	
	N	549	549	549

USSS 2010		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.810(**)	.985(**)
	Sig. (2-tailed)		.000	.000
	N	292	287	287
Outcome Factor	Pearson Correlation	.810(**)	1	.898(**)
	Sig. (2-tailed)	.000		.000
	N	287	291	287
FLSI	Pearson Correlation	.985(**)	.898(**)	1
	Sig. (2-tailed)	.000	.000	
	N	287	287	287

ICE 2010		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.809(**)	.987(**)
	Sig. (2-tailed)		.000	.000
	N	414	414	414
Outcome Factor	Pearson Correlation	.809(**)	1	.893(**)
	Sig. (2-tailed)	.000		.000
	N	414	418	414
FLSI	Pearson Correlation	.987(**)	.893(**)	1
	Sig. (2-tailed)	.000	.000	
	N	414	414	414

** Correlation is significant at the 0.01 level (2-tailed).

TSA 2010		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.827(**)	.988(**)
	Sig. (2-tailed)		.000	.000
	N	1167	1156	1156
Outcome Factor	Pearson Correlation	.827(**)	1	.903(**)
	Sig. (2-tailed)	.000		.000
	N	1156	1179	1156
FLSI	Pearson Correlation	.988(**)	.903(**)	1
	Sig. (2-tailed)	.000	.000	
	N	1156	1156	1156

CBP 2010		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.820(**)	.989(**)
	Sig. (2-tailed)		.000	.000
	N	953	943	943
Outcome Factor	Pearson Correlation	.820(**)	1	.896(**)
	Sig. (2-tailed)	.000		.000
	N	943	970	943
FLSI	Pearson Correlation	.989(**)	.896(**)	1
	Sig. (2-tailed)	.000	.000	
	N	943	943	943

FEMA 2010		Behavior Factor	Outcome Factor	FLSI
Behavior Factor	Pearson Correlation	1	.854(**)	.989(**)
	Sig. (2-tailed)		.000	.000
	N	328	323	323
Outcome Factor	Pearson Correlation	.854(**)	1	.921(**)
	Sig. (2-tailed)	.000		.000
	N	323	329	323
FLSI	Pearson Correlation	.989(**)	.921(**)	1
	Sig. (2-tailed)	.000	.000	
	N	323	323	323

** Correlation is significant at the 0.01 level (2-tailed).

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